



September 20, 2018

**VIA ELECTRONIC MAIL ONLY**

Austin R. Evers  
foia@americanoversight.org

Tracking No: OGE FOIA FY 17/237

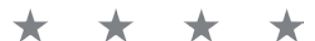
Dear Mr. Evers:

This is in response to your Freedom of Information Act (FOIA) request, which was received by the U.S. Office of Government Ethics (OGE) FOIA Office on March 9, 2017. In your request, you asked for:

1. Records containing or reflecting communications between OGE and individuals nominated, or anticipated to be nominated, by President Trump for Senate-confirmed positions in the federal government, including communications with attorneys or agents acting on behalf of such nominees or prospective nominees, as well as members of the Trump administration, the Trump transition team, or the Trump campaign about such nominees or prospective nominees.
2. Records containing or reflecting communications between OGE and individuals appointed, or anticipated to be appointed, by President Trump for positions in the Executive Office of the President in the White House, including communications with attorneys or agents acting on behalf of such appointees or prospective appointees, as well as members of the Trump administration, the Trump transition team, or the Trump campaign about such appointees or prospective appointees.

After clarification, you limited this request to exclude nomination notification emails, preclearance notification emails, and report transmittal emails. You also limited the request to a list of certain nominees and appointees.

Because the responsive records are voluminous, we are providing you with a rolling response. As a tenth response to your request, please find 241 pages of responsive documents related to the Secretaries of Transportation, Homeland Security, and Veterans Affairs, and the Director of OMB, subject to deletions made in accordance with FOIA Exemption 3, 5 U.S.C. § 552(b)(3) as material specifically exempted from disclosure by another statute; FOIA Exemption 4, 5 U.S.C. § 552(b)(4), as commercial or financial information obtained from a person and privileged or confidential; FOIA Exemption 5, 5 U.S.C. § 552(b)(5), as inter- and intra-agency pre-decisional deliberative process material; and FOIA Exemption 6, 5 U.S.C. § 552(b)(6), as information the disclosure of which would constitute a clearly unwarranted invasion of personal



privacy. The deletions are each marked with a reference “(b)(3),” “(b)(4),” “(b)(5),” or “(b)(6)” in the enclosed copies.

We are withholding approximately 104 pages in their entirety under FOIA Exemption 3, 5 U.S.C. § 552(b)(3) as material specifically exempted from disclosure by another statute, FOIA Exemption 4, 5 U.S.C. § 552(b)(4) as trade secrets and commercial or financial information obtained from a person and privileged or confidential, FOIA Exemption 5, 5 U.S.C. § 552(b)(5) as inter- & intra-agency predecisional deliberative process material, and FOIA Exemption 6, 5 U.S.C. § 552(b)(6) as information the disclosure of which would constitute a clearly unwarranted invasion of personal privacy. The withheld pages are attachments to emails provided in the 241-page release and are identified in that release.

OGE located additional responsive records that originated with the Department of Transportation (DOT), Department of Homeland Security (DHS) and Department of Veterans Affairs (VA). We are sending these responsive records, along with a copy of your request, to these Departments. The FOIA Requester Service Center phone numbers are, respectively: (202) 366-4542, (202) 325-0150 and (202) 461-5046. We are asking them to review the material and respond directly to you. The referred records are identified in the set of responsive documents provided to you.

OGE located responsive records related to the head of the CIA. We are sending these responsive records, along with a copy of your request, to the CIA. The Agency’s FOIA Requester Service Center phone number is: (202) 613-1287. We are asking the Agency to review the material and respond directly to you.

Please note there are special access provisions for the following types of records:

- Public financial disclosure reports are not available under the FOIA, pursuant to FOIA Exemption 3, 5 U.S.C. § 552(b)(3) as material specifically exempted from disclosure by another statute. Instead, the Ethics in Government Act (5 U.S.C. app. § 105) and OGE regulations provide for a special access provision for public financial disclosure reports. You may use OGE’s online system to access these reports. Most of the reports you seek (i.e. nominees who occupy positions for which the pay is set at Levels 1 and 2 of the Executive Schedule) are posted on our website [here](#). Any other reports certified by OGE are available [here](#).
- Ethics agreements are available online at the same location as the public financial disclosure reports.
- OGE regulations provide for a special access provision for Certificates of Divestiture (CDs). OGE has created an automated tool to request copies of the CDs, available on OGE’s website [here](#).

- 18 U.S.C. § 208 provides for a special access provision for conflict of interest waivers. You may use the fill and print PDF version of the [OGE Form 201](#) to request copies of 18 U.S.C. § 208(b)(1) waivers from the employee's home agency.
- Ethics pledge waivers under Executive Order 13770 are available [here](#).

Because of the special access provisions for obtaining financial disclosure reports, ethics agreements, CDs, and conflict of interest waivers, and ethics pledge waivers, we are not processing these records under the FOIA.

If you have any questions or wish to discuss any aspect of your request, you may contact me by telephone at 202-482-9267. As OGE's FOIA Public Liaison, I am available for assisting in reducing delays, increasing transparency and understanding of the status of requests, and assisting in the resolution of disputes. Additionally, you may contact the Office of Government Information Services (OGIS) at the National Archives and Records Administration to inquire about the FOIA mediation services they offer. The contact information for OGIS is as follows: Office of Government Information Services, National Archives and Records Administration, 8601 Adelphi Road-OGIS, College Park, Maryland 20740-6001, e-mail at [ogis@nara.gov](mailto:ogis@nara.gov); telephone at 202-741-5770; toll free at 1-877-684-6448; or facsimile at 202-741-5769.

The OGE official responsible for this FOIA determination is the undersigned. In accordance with the FOIA, as codified at 5 U.S.C. § 552(a)(6)(A), and OGE's updated FOIA regulations, at 5 C.F.R. § 2604.304, you may administratively appeal this determination to the Program Counsel, U.S. Office of Government Ethics, 1201 New York Avenue, N.W., Suite 500, Washington, DC 20005-3917. Any such appeal must be in writing and must be sent within 90 days of the date you receive this response letter. If you do appeal, you should include copies of your request and this response, together with a statement of why you believe this initial determination is in error. Also, if you appeal, you should clearly indicate on the envelope and in the letter that it is a "Freedom of Information Act Appeal."

Sincerely,

Rachel K. Dowell  
OGE FOIA Officer

Attachment

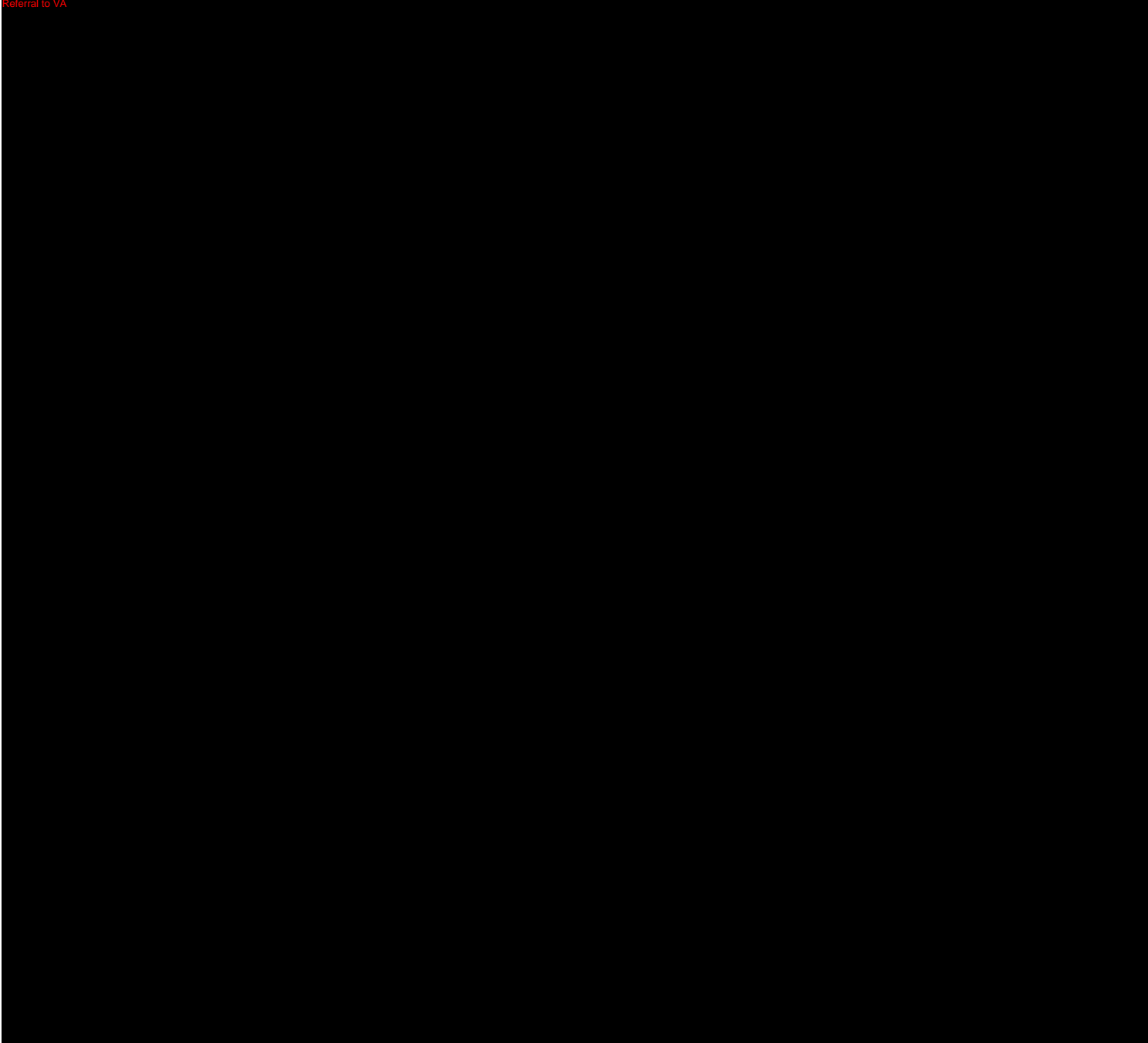
**From:** [Deborah J. Bortot](#)  
**To:** [Teresa L. Williamson](#); [Heather A. Jones](#); [Sandra S. Mabry](#); [Keith Labedz](#)  
**Subject:** FW: Points of Contact for Nominee Packages  
**Date:** Tuesday, December 20, 2016 9:03:55 AM

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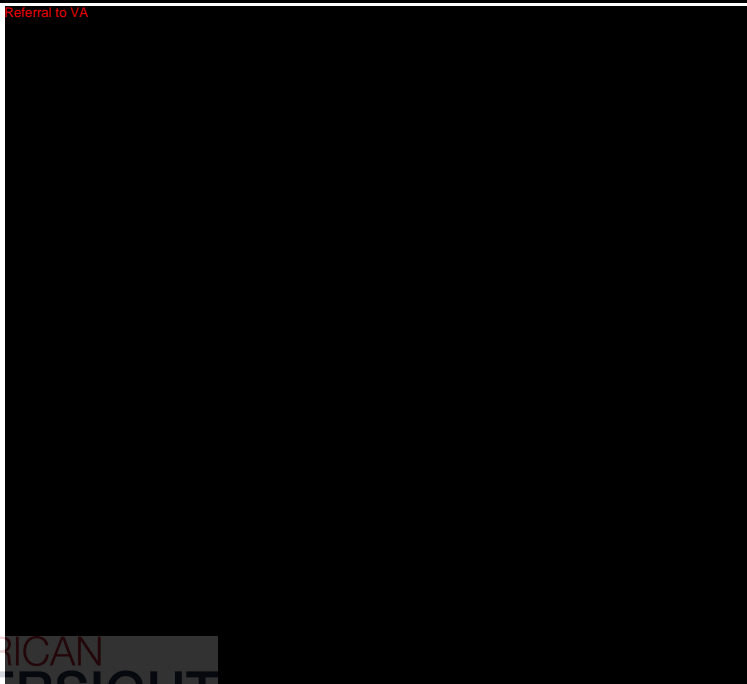
Referral to VA



Referral to VA



Referral to VA



Referral to VA



Referral to VA



Referral to VA



**From:** Teresa L. Williamson [<mailto:tlwillia@oge.gov>]

**Sent:** Tuesday, December 20, 2016 2:03 PM

**To:** Gurland, Jonathan I.; Britt, Christopher

**Subject:** [EXTERNAL] Points of Contact for Nominee Packages

**Importance:** High

Good Afternoon,

I hope you are both doing well. We want to make sure we have a point of contact during the holidays on any new nominees that come in. Would you please provide contact information for staff from your office that will be working on the nominee packages over the next few weeks.

Thanks!

Teresa

Teresa Williamson

Presidential Nominations Branch

U.S. Office of Government Ethics

1201 New York Avenue, NW - Suite 500

Referral to VA



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Referral to VA



**From:** [Teresa L. Williamson](#)  
**To:** [Heather A. Jones](#); [Deborah J. Bortot](#)  
**Subject:** FW: Integrity.gov: Report Pending Action  
**Date:** Thursday, January 19, 2017 12:07:08 PM

---

New report in Integrity - who's getting it?

-----Original Message-----

From: Integrity.gov [(b) (6)]  
Sent: Thursday, January 19, 2017 11:58 AM  
To: Teresa L. Williamson  
Subject: Integrity.gov: Report Pending Action

A 2017 Nominee report for Shulkin, David J is pending your action as Router. You may access the report by logging into integrity at [Nonresponsive network info]



**From:** [Lorna A. Syme](#)  
**To:** ["Britt, Christopher"](#)  
**Subject:** RE: [b](3), (6)  
**Date:** Thursday, January 19, 2017 3:31:19 PM

---

That would be great.

Referral to VA



Referral to VA

**From:** Lorna A. Syme [mailto:[lasyme@oge.gov](mailto:lasyme@oge.gov)]

**Sent:** Thursday, January 19, 2017 3:35 PM

**To:** Britt, Christopher

**Subject:** [EXTERNAL] RE: Ethics Form

I just re-checked with my office and they said (b)(3), (5), (6)

I'm going to have questions for you but I might not get them to you until later tonight or tomorrow morning. I'm making some technical changes to the report as I go through it. Will you be able to review/forward my questions to the filer so that he has them over the weekend?

Referral to VA

**From:** Lorna A. Syme [mailto:[lasyme@oge.gov](mailto:lasyme@oge.gov)]

**Sent:** Thursday, January 19, 2017 3:11 PM

**To:** Britt, Christopher

**Subject:** [EXTERNAL] RE: Ethics Form

Thanks. (b)(3), (5), (6)

I'm going to go ahead and make those changes now because they are really purely technical.

Referral to VA

**From:** Lorna A. Syme [mailto:[lasyme@oge.gov](mailto:lasyme@oge.gov)]

**Sent:** Thursday, January 19, 2017 2:14 PM

**To:** Britt, Christopher

**Subject:** [EXTERNAL] RE: Ethics Form

(b)(3), (5), (6)

(b)(3), (5), (6)



Referral to VA



**From:** Lorna A. Syme [<mailto:lasyme@oge.gov>]

**Sent:** Thursday, January 19, 2017 1:50 PM

**To:** Britt, Christopher

**Subject:** [EXTERNAL] FW: Ethics Form

I'm working through the report now. Should I email my questions to you when I'm done?

---

**From:** Heather A. Jones

**Sent:** Thursday, January 19, 2017 1:13 PM

**To:** Britt, Christopher; Deborah J. Bortot; Lorna A. Syme

**Subject:** Re: Ethics Form

Lorna Syme. She is copied on this email.

Sent from my BlackBerry 10 smartphone on the Verizon Wireless 4G LTE network.

Referral to VA



**From:** Deborah J. Bortot [<mailto:djbortot@oge.gov>]

**Sent:** Friday, January 13, 2017 8:34 AM

**To:** Britt, Christopher

**Cc:** Heather A. Jones

**Subject:** [EXTERNAL] RE: Ethics Form

Chris,

I just checked the *Integrity* system and I do not see a nominee report for Dr. Shulkin pending with OGE. The first step is for him to work with the Presidential Transition Team (PTT) to get started in *Integrity*. PTT will then release the report to your agency and OGE. Until the report is release to us by PTT, we can't see it in *Integrity*.

Has PTT been working with him to start a nominee report in *Integrity*?

Thanks,

Deb

Referral to VA



Referral to VA



Referral to VA

Referral to VA



Rest of chain mentioned above



**From:** [Lorna A. Syme](#)  
**To:** ["Britt, Christopher"](#)  
**Subject:** nominee report  
**Date:** Friday, January 20, 2017 1:23:43 PM

---

I hope to send you my comments shortly. It's taking me a little bit longer than I expected to match up everything.

Also, can you remind me of the (b)(3), (6). I remember us discussing, but my notes are in the office. Maybe we can discuss by telephone at some point. We may have to tweak the language on Part 3.

Lorna Syme  
Presidential Nominations Branch  
U.S. Office of Government Ethics  
1201 New York Ave., NW, Suite 500  
Washington, DC 20005-3917  
Telephone: (202) 482-9277  
Facsimile: (202) 482-9237

Visit OGE's website: [>>www.oge.gov<<](http://www.oge.gov)  
Follow OGE on Twitter: @OfficeGovEthics

**From:** [Lorna A. Syme](#)  
**To:** ["Britt, Christopher"](#)  
**Subject:** RE: (b)(3), (5), (6)  
**Date:** Friday, January 20, 2017 1:42:04 PM

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Yes – Part 2.

Referral to VA



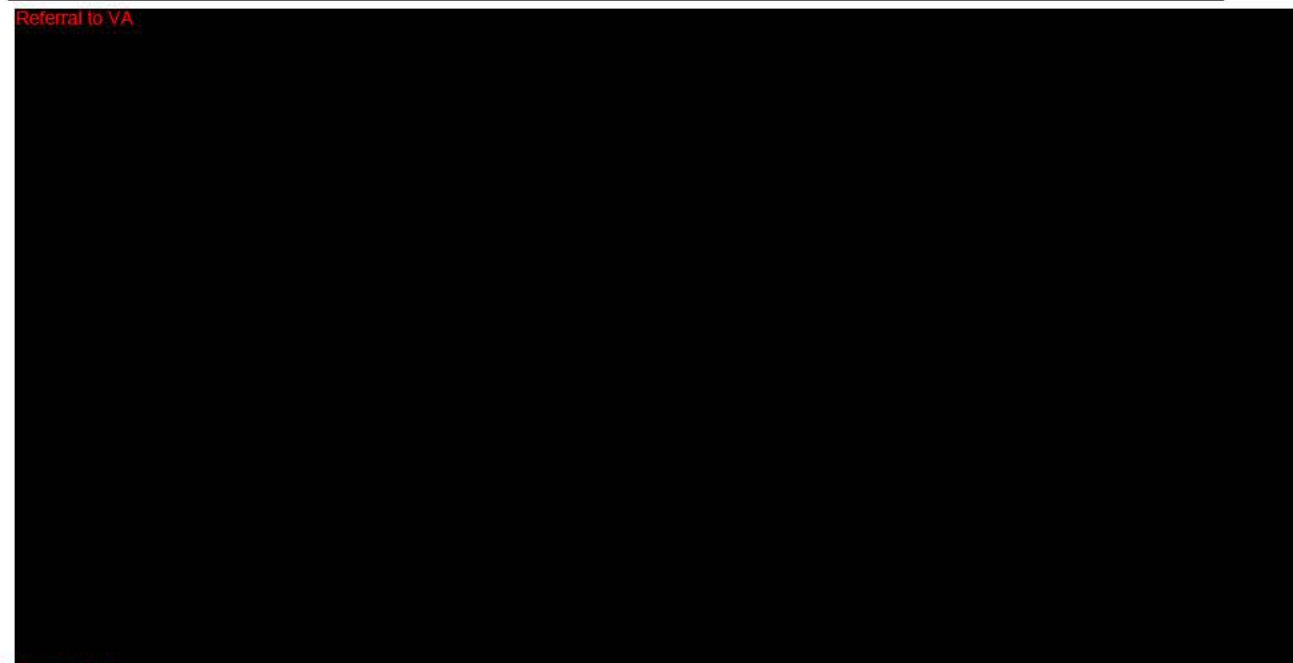
**From:** Lorna A. Syme [<mailto:lasyme@oge.gov>]  
**Sent:** Friday, January 20, 2017 1:38 PM  
**To:** Britt, Christopher  
**Subject:** [EXTERNAL] RE: (b)(3), (5), (6)

Yes – we will have to clarify. I read Part 3 to mean (b)(3), (5), (6). I think Part 3 language will need to be revised a bit.

Referral to VA



Referral to VA



Referral to VA



Referral to VA



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**Sent:** Tuesday, October 13, 2015 5:45 PM




**To:** Britt, Christopher

**Subject:** [EXTERNAL] RE: (b)(3), (b)

Hi Chris:

These are the questions that we think should be addressed in your (b)(5) analysis:

(b)(3), (5), (6)



Let me know if you want to discuss.

Lorna

Referral to VA



**From:** [Lorna A. Syme](#)  
**To:** [Heather A. Jones](#)  
**Subject:** RE: quick question  
**Date:** Friday, January 20, 2017 4:08:24 PM

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Checking Thx

---

**From:** Heather A. Jones  
**Sent:** Friday, January 20, 2017 3:45 PM  
**To:** Lorna A. Syme; Deborah J. Bortot  
**Subject:** Re: quick question

Correct. (b)(3), (5), (6)

Sent from my BlackBerry 10 smartphone on the Verizon Wireless 4G LTE network.

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**From:** Lorna A. Syme  
**Sent:** Friday, January 20, 2017 3:40 PM  
**To:** Deborah J. Bortot; Heather A. Jones  
**Subject:** quick question

(b)(3), (5), (6)



Correct?  
Thanks!

Lorna Syme  
Presidential Nominations Branch  
U.S. Office of Government Ethics  
1201 New York Ave., NW, Suite 500  
Washington, DC 20005-3917  
Telephone: (202) 482-9277  
Facsimile: (202) 482-9237

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Follow OGE on Twitter: @OfficeGovEthics

Referral to VA



**From:** Lorna A. Syme [<mailto:lasyme@oge.gov>]  
**Sent:** Friday, January 20, 2017 3:59 PM  
**To:** Britt, Christopher  
**Subject:** [EXTERNAL] RE: initial questions

(b)(3), (5), (6)



Referral to VA



**From:** Lorna A. Syme [<mailto:lasyme@oge.gov>]  
**Sent:** Friday, January 20, 2017 2:59 PM  
**To:** Britt, Christopher

**Subject:** [EXTERNAL] initial questions

Sorry my review took a longer than I expected. My initial comments/questions are attached. Happy to discuss if you need any clarification

Lorna Syme  
Presidential Nominations Branch  
U.S. Office of Government Ethics  
1201 New York Ave., NW, Suite 500  
Washington, DC 20005-3917  
Telephone: (202) 482-9277  
Facsimile: (202) 482-9237

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**From:** [Lorna A. Syme](#)  
**To:** ["Britt, Christopher"](#)  
**Subject:** RE: (b)(3), (b) question  
**Date:** Friday, January 20, 2017 10:16:09 PM

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The (b)(3), (b) really should be moved to Part 5. Can you tell me which they are and I can move them.

Referral to VA



**From:** [Lorna A. Syme](#)  
**To:** ["Britt, Christopher"](#)  
**Subject:** RE: (b)(3), (6)  
**Date:** Friday, January 20, 2017 10:23:07 PM

(b)(3), (5), (6)



Referral to VA



**From:** Lorna A. Syme [<mailto:lasyme@oge.gov>]  
**Sent:** Friday, January 20, 2017 4:20 PM  
**To:** Britt, Christopher  
**Subject:** [EXTERNAL] RE: (b)(3), (6)

(b)(3), (6)

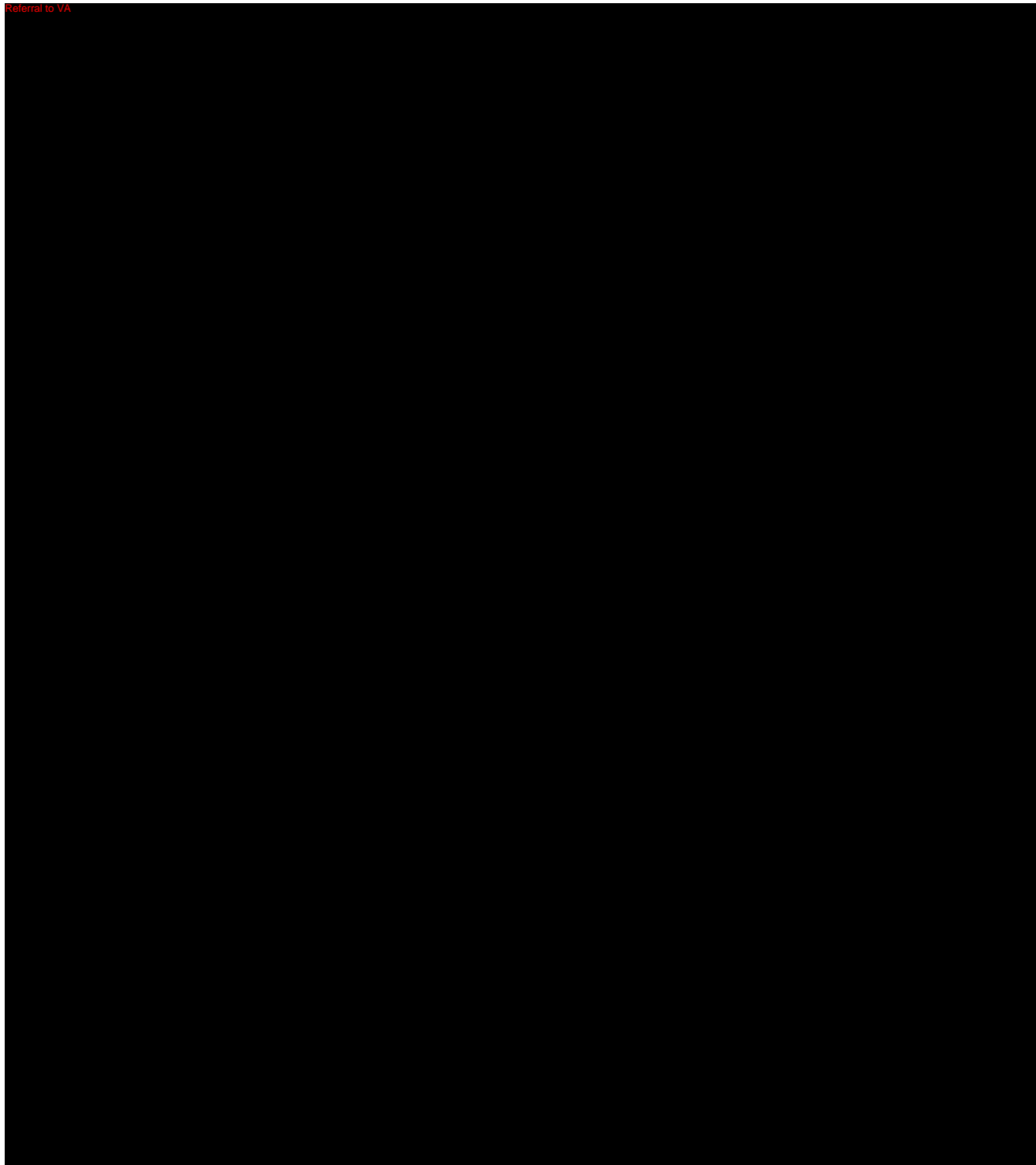
  


Take a look. He can retain or drop the endnote – his decision.

Referral to VA



Referral to VA



**From:** [Deborah J. Bortot](#)  
**To:** [Lorna A. Syme](#); [Heather A. Jones](#); [Keith Labedz](#)  
**Subject:** Re: (b)(3), (5), (6)  
**Date:** Saturday, January 21, 2017 4:35:05 PM

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I would send them the regs.

Sent from my BlackBerry 10 smartphone on the Verizon Wireless 4G LTE network.

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**From:** Lorna A. Syme  
**Sent:** Saturday, January 21, 2017 3:48 PM  
**To:** Deborah J. Bortot; Heather A. Jones; Keith Labedz  
**Subject:** FW: (b)(3), (5), (6)

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(b)(3), (5), (6)



Referral to VA





Referral to VA



**From:** [Heather A. Jones](#)  
**To:** [Lorna A. Syme](#); [Deborah J. Bortot](#); [Keith Labedz](#)  
**Subject:** Re: (b)(3), (6)  
**Date:** Sunday, January 22, 2017 1:34:24 PM

---

OK just put something on the calendar

Sent from my BlackBerry 10 smartphone on the Verizon Wireless 4G LTE network.

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**From:** Lorna A. Syme  
**Sent:** Sunday, January 22, 2017 12:27 PM  
**To:** Deborah J. Bortot; Heather A. Jones; Keith Labedz  
**Subject:** (b)(3), (6)

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Maybe we can talk early Monday about revisions to the language for Part 3 for reporting of these

(b)(3), (5), (6)  
[REDACTED]

As a reminder, Dave, Walt, Lorna, Deb and Heather all met in October/November 2015 to discuss.

(b)(3), (5), (6)  
[REDACTED]

Lorna

**From:** [Deborah J. Bortot](#)  
**To:** (b)(6) - Stefan Passantino's email address  
**Cc:** (b)(6) - Ann Donaldson's email address; (b)(6) - James Schu tz's email address; [Lorna A. Syme](#); ["Britt, Christopher"](#); [David J. Apol](#); [Teresa L. Williamson](#); [Sandra S. Mabry](#); [Heather A. Jones](#); [Rodrick T. Johnson](#); [Keith Labedz](#)  
**Subject:** PRECLEASED: David Shulkin  
**Date:** Friday, January 27, 2017 10:32:31 AM

---

Stefan, David Shulkin is precleared.

Lorna, please forward the ethics agreement to Stefan.

Thanks!

Deb

Deborah J. Bortot  
Chief, Presidential Nominations Branch  
U.S. Office of Government Ethics  
1201 New York Ave., NW, Suite 500  
Washington, DC 20005-3917  
Telephone: (202) 482-9227  
Facsimile: (202) 482-9237

**From:** [Teresa L. Williamson](#)  
**To:** [Lorna A. Syme](#); [Britt, Christopher](#)  
**Subject:** Public Financial Disclosure Report of David J. Shulkin  
**Date:** Friday, January 27, 2017 2:37:19 PM  
**Attachments:** [Shulkin, David J. finalsenateletter.docx.pdf](#)  
[Shulkin, David J. final278.pdf](#)  
[Shulkin, David J. finalEA.pdf](#)

Final EA and final senate letter released below.  
278 financial disclosure report withheld in full - (b)  
(3) - Available at <https://extapps2.oge.gov/201/Presiden.nsf/PAS%20Index?OpenView>

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Good Afternoon,

I've attached the financial disclosure package for David J. Shulkin, who has been nominated by President Trump for the position of Secretary, Department of Veterans Affairs.

Thanks!

Teresa Williamson  
Presidential Nominations Branch  
U.S. Office of Government Ethics  
1201 New York Avenue, NW - Suite 500  
Washington, DC 20005  
202-482-9283

UNITED STATES OFFICE OF  
GOVERNMENT ETHICS



JAN 27 2017

The Honorable Johnny Isakson  
Chairman  
Committee on Veterans' Affairs  
United States Senate  
Washington, DC 20510

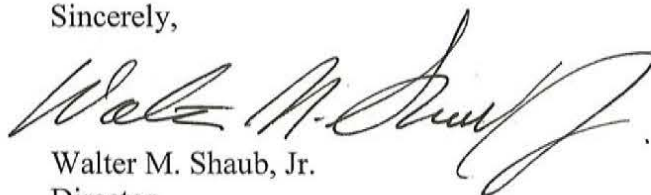
Dear Mr. Chairman:

In accordance with the Ethics in Government Act of 1978, I enclose a copy of the financial disclosure report filed by David J. Shulkin, who has been nominated by President Trump for the position of Secretary, Department of Veterans Affairs.

We have reviewed the report and have obtained advice from the agency concerning any possible conflict in light of its functions and the nominee's proposed duties. Also enclosed is an ethics agreement outlining the actions that the nominee will undertake to avoid conflicts of interest. Unless a date for compliance is indicated in the ethics agreement, the nominee must fully comply within three months of confirmation with any action specified in the ethics agreement.

Based thereon, we believe that this nominee is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,



Walter M. Shaub, Jr.  
Director

Enclosures

January 27, 2017

Ms. Tammy L. Kennedy  
Chief Counsel and  
Designated Agency Ethics Official  
U.S. Department of Veterans Affairs  
Washington, D.C. 20420

Dear Ms. Kennedy,

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Secretary of the U.S. Department of Veterans Affairs.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

I received a severance payment from Atlantic Health System on July 2, 2015. Until July 3, 2017, I will not participate personally and substantially in any particular matter involving specific parties in which I know Atlantic Health System, or its hospitals, is a party or represents a party, unless I first receive a written waiver pursuant to 5 C.F.R. § 2635.503(c).

My spouse owns a medical practice, Merle Bari MD and Associates Inc. I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of Merle Bari MD and Associates Inc., unless I first obtain a written waiver pursuant to 18 U.S.C. § 208(b)(1).

I have been advised that the duties of the position of Secretary may involve particular matters affecting the financial interests of the following entities: ImaCor, Inc., Control Rad Inc., SpectraMD, Inc., and Electrocore, Inc. The Department has determined that it is not necessary at this time for me to divest my interests in these entities because the likelihood that my duties will involve any such matter is remote. Accordingly, with regard to each of these entities, I will not participate personally and



Ms. Tammy Kennedy  
Page 2

substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of the entity for as long as I own it, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

I have an agreement with Hutchinson Biofilm Medical Solutions Ltd. that entitles me to receive a grant of stock options from the company if, at any time in the future, the company issues stock options. I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of Hutchinson Biofilm Medical Solutions Ltd., unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

I will divest my interests in the following entities within 90 days of my confirmation: Amazon, Bank of America, Citigroup Inc., JP Morgan Chase, Morgan Stanley, Wells Fargo, and M&T Bank Corp. With regard to each of these entities, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of the entity until I have divested it, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

I understand that I may be eligible to request a Certificate of Divestiture for qualifying assets and that a Certificate of Divestiture is effective only if obtained prior to divestiture. Regardless of whether I receive a Certificate of Divestiture, I will ensure that all divestitures discussed in this agreement occur within the agreed upon timeframes and that all proceeds are invested in non-conflicting assets.

I have been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

Sincerely,

A handwritten signature in black ink, appearing to read "D. Shulkin", with a long horizontal flourish extending to the right.

David Shulkin

Nonresponsive record

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**From:** Sandra S. Mabry [mailto:ssmabry@oge.gov]  
**Sent:** Friday, December 23, 2016 3:10 PM  
**To:** D'Adamo, Gabrielle (HSGAC)  
**Subject:** RE: OGE documents

Probably 5:30, maybe later. Can you talk now?

---

**From:** D'Adamo, Gabrielle (HSGAC) [REDACTED]  
**Sent:** Friday, December 23, 2016 3:10 PM  
**To:** Sandra S. Mabry  
**Subject:** Re: OGE documents

Thank you, Sandy. What time will you be in the office until?

---

**From:** Sandra S. Mabry  
**Sent:** Friday, December 23, 2016 2:45 PM  
**To:** D'Adamo, Gabrielle (HSGAC)  
**Cc:** Hixon, Christopher (HSGAC)  
**Subject:** RE: OGE documents

Hi, Gabrielle, please give me a call at 202-482-9258. Thanks, Sandy

---

**From:** D'Adamo, Gabrielle (HSGAC) [REDACTED]  
**Sent:** Friday, December 23, 2016 12:15 PM  
**To:** Teresa L. Williamson; Sandra S. Mabry  
**Cc:** Hixon, Christopher (HSGAC)  
**Subject:** OGE documents

Teresa and Sandra,

Good afternoon. I was hoping you could provide me with some information about when we can expect to receive OGE documents for two of our nominees.

The most immediate concern is General Kelly, who will be nominated to be DHS Secretary. In



the past, because of the nature of the agency and its national security mission, this position has been confirmed on the day of inauguration. We expect to do the same for this administration. HSGAC is holding a hearing on Jan. 11.

Rep. Mulvaney will be nominated to serve as OMB Director. We expect to hold his hearing on Jan. 18.

Could you let me know when we can expect to receive the required ethics documents, or if there is another individual I should contact in the office?

Thank you,  
Gabrielle

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**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Jim Robertson](#)  
**Subject:** RE (b)(3), (b) Question  
**Date:** Friday, January 06, 2017 4:07:53 PM

---

Good, thank you, agree.

-----Original Message-----

From: Jim Robertson [<mailto:jfrobert@oge.gov>]  
Sent: Friday, January 6, 2017 4:06 PM  
To: Sutton, Yasaman P. EOP/OMB (b)(3), (b) >  
Subject: RE (b)(3), (b) Question

Yasi,

(b)(3), (b) (b)

Thanks,

Jim

-----Original Message-----

From: Sutton, Yasaman P. EOP/OMB (b)(3), (b) ]  
Sent: Friday, January 06, 2017 3:56 PM  
To: Jim Robertson  
Cc: Sutton, Yasaman P. EOP/OMB  
Subject: (b)(3), (b) Question

Jim,

You are going to talk to Keith and get back to me on the question of how we (b)(3), (b), (b)

I would like to include it in my list of questions, I think we need more details.

I am here late.

Thank you!

V/R, Yasi

Yasaman Sutton  
Assistant General Counsel  
Office of Management and Budget

(b)(3), (b) desk

(b)(3), (b) work cell --- please do not hesitate to call if not at my desk

Please submit event attendance requests here: Nonresponsive network info

**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Jim Robertson](#)  
**Subject:** FW: Draft answers  
**Date:** Monday, January 09, 2017 11:27:15 AM  
**Attachments:** [OGE-Supp1.docx](#)

---

12 page attachment withheld in full - (b)(3), (4), (5), (6)

-----Original Message-----

**From:** Mick Mulvaney (b) (6)  
**Sent:** Friday, January 6, 2017 3:42 PM  
**To:** Marcus Peacock (b) (6) >; Sutton, Yasaman P. EOP/OMB  
(b) (6)  
**Subject:** Draft answers

The yellow answers should be right. The red answers need either confirmation by me or an accurate cross-reference. IF there is no response I haven't gotten to it yet.

But I wanted to get this out ASAP. More tonight.

Thanks very much.

MM

**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Jim Robertson](#)  
**Subject:** FW: Congressman Mulvaney -- Nominee 278 -- INITIAL QUESTIONS FROM OGE  
**Date:** Monday, January 09, 2017 11:46:26 AM

---

-----Original Message-----

From: Mick Mulvaney (b) (6)  
Sent: Friday, January 6, 2017 2:45 PM  
To: Sutton, Yasaman P. EOP/OMB (b) (6)  
Cc: Marcus Peacock (b) (6); (b) (6) - Emily Mallon's email address  
Subject: Re: Congressman Mulvaney -- Nominee 278 -- INITIAL QUESTIONS FROM OGE

See my notes, below..still working on the larger document from earlier today:

(b) (6), (4), (5), (6)



(b)(3), (5), (6)

---

Thank you!

V/R, Yasi

(b) (6)

-----Original Message-----

From: Mick Mulvaney

(b) (6)

Sent: Friday, January 6, 2017 11:23 AM

To: Sutton, Yasaman P. EOP/OMB

(b) (6)

Cc: Marcus Peacock

(b) (6)

(b) (6)

(b) (6)

(b)(6) - Emily Malon's email address

> >

Subject: Re: Congressman Mulvaney -- Nominee 278 -- INITIAL QUESTIONS FROM OGE

Thanks for sending over. These should all be manageable.

Quick question:

(b)(3), (5), (6)

MM

On Jan 6, 2017, at 11:10 AM, Sutton, Yasaman P. EOP/OMB

(b) (6)

(b) (6)

> > wrote:

Congressman Mulvaney and Marcus,

No attachments found in search

Thank you for your call.

As promised, here are OGE's initial questions on the draft nominee report. And as we discussed, I am carefully reviewing the report and OGE's initial questions and will submit those to you, formally, on which you can respond.

Also, kindly send the House financial disclosure reports covering 2015 and 2016, along with your responses to the Senate Questionnaire.

Thank you, again.

Talk to you soon!

V/R, Yasi

(b) (6)

-----Original Message-----

From: Jim Robertson [<mailto:jfrobert@oge.gov>]

Sent: Thursday, January 5, 2017 4:21 PM

To: Sutton, Yasaman P. EOP/OMB <(b) (6)>  
Subject: Mulvaney report

Hi Yassi -

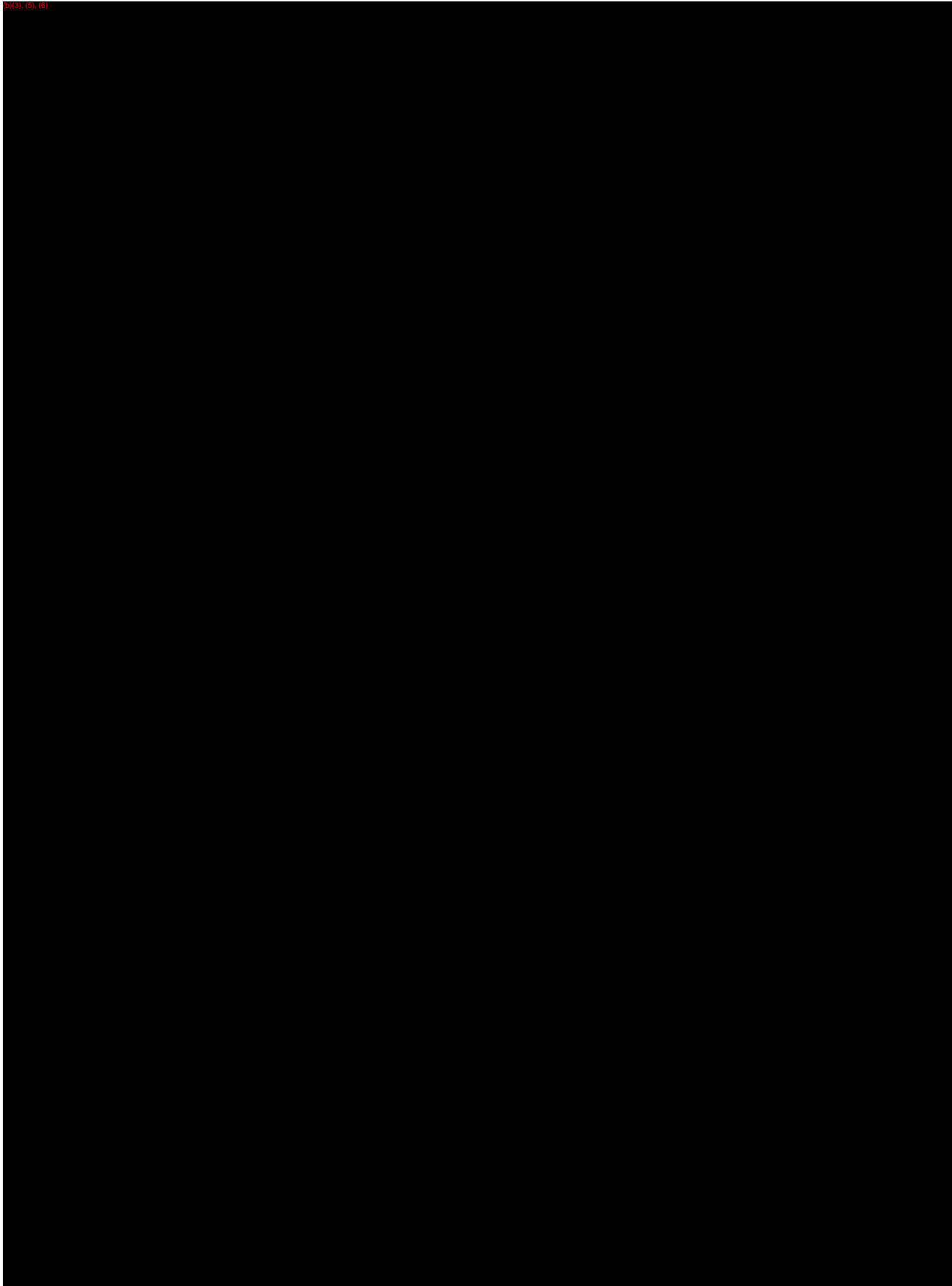
As promised, first round of question/comments for Congressman Mulvaney's report.

Thanks,

Jim

Part 1 - Outside Positions:

(b) (5), (b) (6)



[REDACTED]



Jim Robertson

Assistant Counsel

General Counsel & Legal Policy Division

U.S. Office of Government Ethics

James robertson@oge.gov

202-482-9268

**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Jim Robertson](#)  
**Cc:** [Sutton, Yasaman P. EOP/OMB](#)  
**Subject:** RE: Mulvaney Report  
**Date:** Monday, January 09, 2017 12:50:43 PM

---

Jim,  
Kindly the following for your action per our call.

(b)(3), (5), (6)



Thank you!  
V/R, Yasi

---

**From:** Jim Robertson [mailto:jfrobert@oge.gov]  
**Sent:** Monday, January 9, 2017 11:23 AM  
**To:** Sutton, Yasaman P. EOP/OMB  
**Subject:** RE: Mulvaney Report

Hi Yasi –

Answers in blue, below.

(b)(3), (5), (6)



(b)(3), (5), (6)

Thanks,

Jim

Jim Robertson

Assistant Counsel

General Counsel & Legal Policy Division

U.S. Office of Government Ethics

James.robertson@oge.gov

202-482-9268

-----Original Message-----

From: Sutton, Yasaman P. EOP/OMB

Sent: Monday, January 09, 2017 10:14 AM

To: Jim Robertson

Cc: Sutton, Yasaman P. EOP/OMB

Subject: RE: Mulvaney Report

Good Morning, Jim --

Here are my questions for OGE/you, at this time, when we talk this morning.

(b)(3), (5), (6)

Thank you!

VR,

Yasi

-----Original Message-----

From: Sutton, Yasaman P. EOP/OMB

Sent: Sunday, January 8, 2017 11:42 PM

To: Jim Robertson <[jfrobert@oge.gov](mailto:jfrobert@oge.gov)>

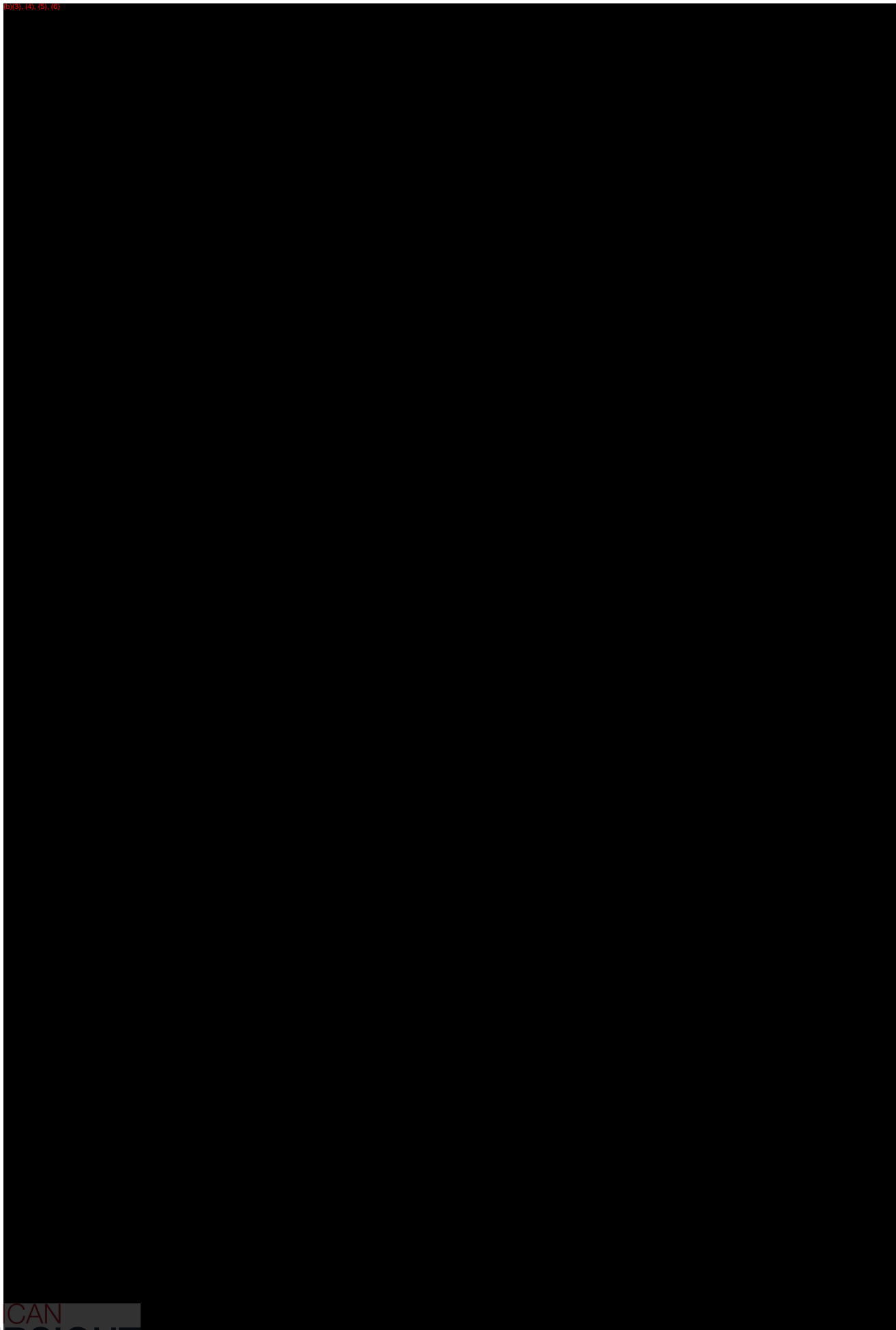
Cc: Sutton, Yasaman P. EOP/OMB

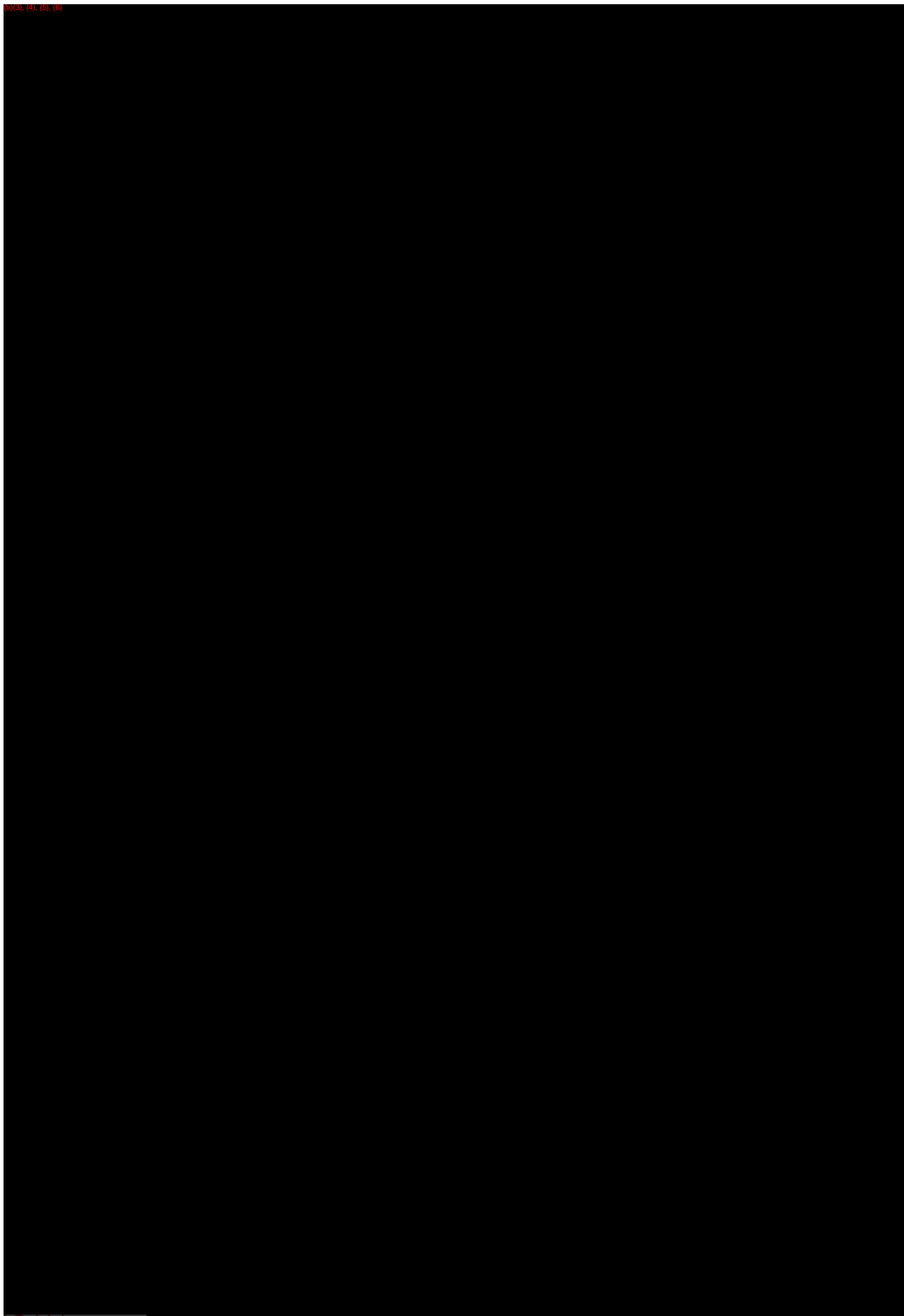
Subject: Mulvaney Report

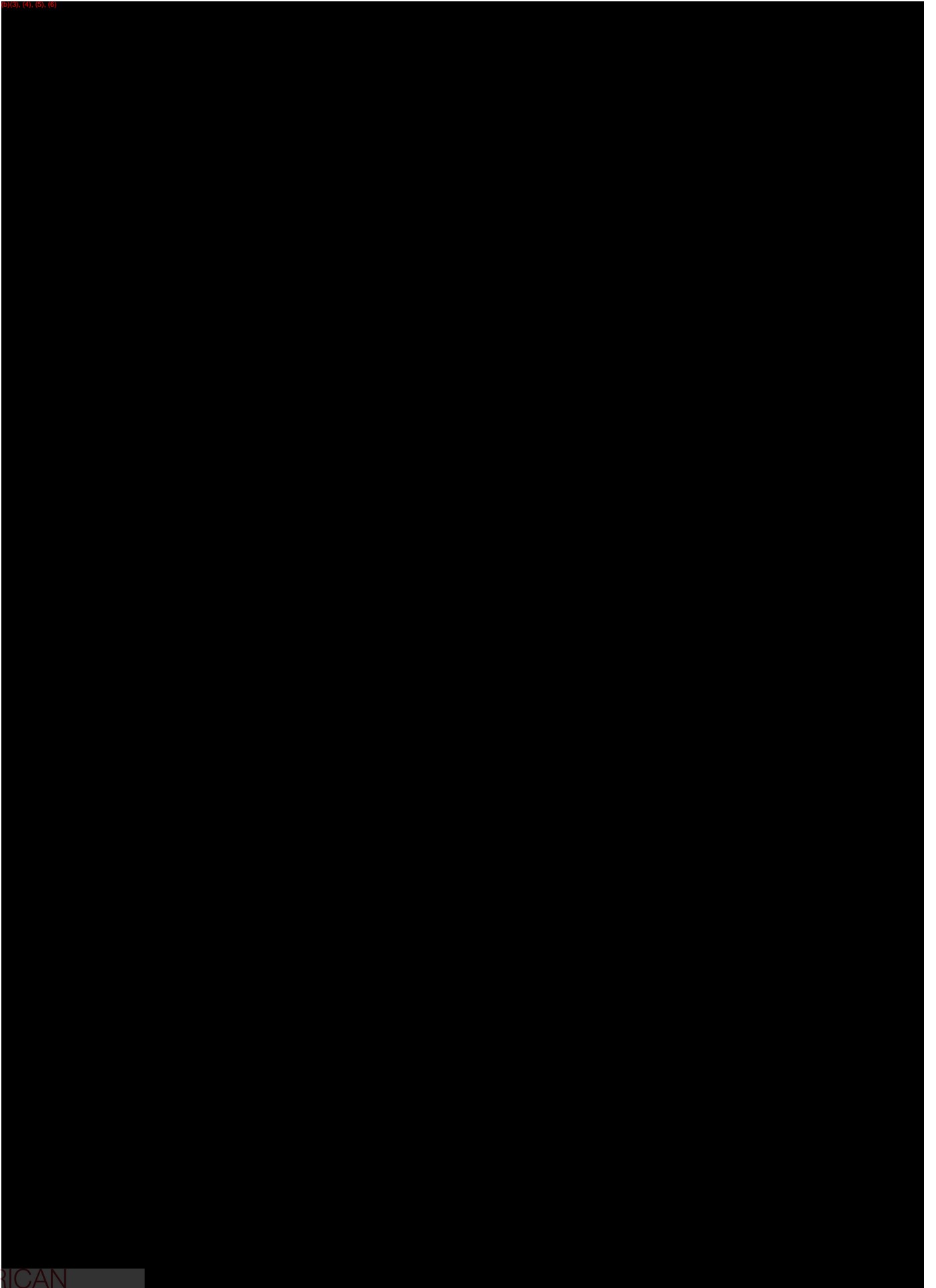
Jim,

Below is an exchange I had with the filer over the weekend.













(b) (3), (4), (5), (6)



Yasaman Sutton  
Assistant General Counsel  
Office of Management and Budget

(b) (6) desk

(b) (6) work cell --- please do not hesitate to call if not at my desk

Please submit event attendance requests here:

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**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Jim Robertson](#)  
**Subject:** FW: (b)(3), (b)(6)  
**Date:** Monday, January 09, 2017 3:53:05 PM  
**Attachments:** [Mulvaney \(b\)\(3\), \(b\)\(6\).pdf](#)  
[ATT00001.htm](#)  
**Importance:** High

---

21 page attachment withheld in full - (b)(3), (4), (6)

-----Original Message-----

**From:** Mick Mulvaney (b)(6)  
**Sent:** Monday, January 9, 2017 3:49 PM  
**To:** Sutton, Yasaman P. EOP/OMB (b)(6)  
**Subject:** Fwd: (b)(3), (b)(6)  
**Importance:** High

21 page attachment withheld in full - (b)(3), (4), (6)

(b)(3), (6)

Hope this helps.

I am no free to chat by phone until 5 pm.

Thanks

MM

**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Jim Robertson](#)  
**Subject:** Fwd: End of Day Status  
**Date:** Tuesday, January 10, 2017 10:06:53 AM  
**Attachments:** (b)(3), (6) .docx  
[ATT00001.htm](#)

1 page attachment withheld in full - (b)(3), (4), (5), (6)

I will update form momentarily

Sent from my iPhone

Begin forwarded message:

From: Mick Mulvaney (b)(6) (b)(6) >  
Date: January 9, 2017 at 7:04:06 PM EST  
To: "Sutton, Yasaman P. EOP/OMB"  
(b)(6)  
Subject: Re: End of Day Status

(b)(3), (5), (6)

(b) (5)

I am leaving the office now, but please do not hesitate to reach me.

Thank you!

V/R, Yasi

Yasaman Sutton  
Assistant General Counsel  
Office of Management and Budget

(b)(6) desk  
(b)(6) work cell --- please do not hesitate to call if not at my desk

Please submit event attendance requests here (b)(6) nonresponsive network info

**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Jim Robertson](#)  
**Subject:** FW: (b)(3), (6)  
**Date:** Tuesday, January 10, 2017 11:26:19 AM

---

Please see below.

-----Original Message-----

**From:** Sutton, Yasaman P. EOP/OMB  
**Sent:** Monday, January 9, 2017 4:39 PM  
**To:** 'Mick Mulvaney' (b)(3), (6)  
**Cc:** Sutton, Yasaman P. EOP/OMB (b)(3), (6)  
**Subject:** RE: (b)(3), (6)

Sir,

(b) (5)

Thank you for your responsiveness and patience as we make sure we understand this and get everything!

V/R, Yasi

--

(b)(3), (4), (5), (6)

(b)(3), (4), (6)



--

-----Original Message-----

From: Mick Mulvaney

(b) (6)

Sent: Monday, January 9, 2017 4:18 PM

To: Sutton, Yasaman P. EOP/OMB

(b) (6)

Subject: Re:

(b)(3), (6)

(b)(3), (5), (6)



> We are almost there!

>

>

>

>

>

> -----Original Message-----

> From: Mick Mulvaney

(b) (6)

> Sent: Monday, January 9, 2017 3:58 PM

> To: Sutton, Yasaman P. EOP/OMB

(b) (6)

> Subject: Re:

(b)(3), (6)

>

> see responses:

>

>

>

>

>

(b)(3), (5), (6)



>

(b)(3), (4), (5), (6)



>

> Jim

>

>

>

>

>

>

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>

>

**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Jim Robertson](#)  
**Subject:** FW: (b)(3), (b)(6)  
**Date:** Tuesday, January 10, 2017 12:25:09 PM

---

-----Original Message-----

**From:** Mick Mulvaney (b)(3), (b)(6)  
**Sent:** Monday, January 9, 2017 7:16 PM  
**To:** Sutton, Yasaman P. EOP/OMB (b)(6)  
**Subject:** Re: (b)(3), (b)(6)

10-4.. (b)(3), (b)(6)

On Jan 09, 2017, at 07:11 PM, "Sutton, Yasaman P. EOP/OMB" (b)(6) wrote:

I will consult with OGE tomorrow on this and we will get back to you.

Sent from my iPhone

On Jan 9, 2017, at 7:06 PM, Mick Mulvaney (b)(6) > wrote:

(b) (5), (b) (6)

(b)(3), (b)(6)

On Jan 09, 2017, at 07:04 PM, "Sutton, Yasaman P. EOP/OMB" (b)(6) > wrote:

We are interested in the details of the (b)(3), (b)(6).

Perhaps we should talk.

Sent from my iPhone

On Jan 9, 2017, at 6:19 PM, Mick Mulvaney (b)(6) > wrote:

Her's all I have about [REDACTED]

Begin forwarded message:

From: David Finnie [REDACTED] >>

Date: January 09, 2017 5:43:51 PM

To: "DeVita, Rich" [REDACTED], Mick Mulvaney

Subject: RE: [REDACTED]

Mick,

[REDACTED]

From: DeVita, Rich [REDACTED]

Sent: Monday, January 09, 2017 4:57 PM

To: Mick Mulvaney; David Finnie

Subject: RE: [REDACTED]

[REDACTED]

Sent from my Verizon, Samsung Galaxy smartphone

----- Original message -----

From: Mick Mulvaney [REDACTED] >>

Date: 1/9/17 4:47 PM (GMT-05:00)

To: David Finnie [REDACTED]

Cc: "DeVita, Rich" [REDACTED]

Subject: Re: [REDACTED]



Guys: Ethics is asking for the attachment referenced in (b)(3), (6) [REDACTED] ?

Non-Agency Record

MM

On Jan 6, 2017, at 12:59 PM, David Finnie (b)(3), (6) [REDACTED] >> wrote:

Rich and Mick,

Attached is a copy of the (b)(3), (6) [REDACTED] document. The answers to Mick's questions are below in red.

From: DeVita, Rich (b)(3), (6) [REDACTED]

Sent: Friday, January 06, 2017 12:05 PM

To: Mick Mulvaney

Cc: David Finnie

Subject: RE: (b)(3), (6) [REDACTED]

Mick:

Congrats on the new role! (b) (5) [REDACTED]

. To my knowledge, (b)(3), (5), (6) [REDACTED]

(b) (5) [REDACTED]

Again congrats on the new role I. I look forward to seeing you soon!

Sent from my Verizon, Samsung Galaxy smartphone

----- Original message -----

From: Mick Mulvaney (b)(3), (6) [REDACTED]

Date: 1/6/17 11:19 AM (GMT-05:00)

To: "DeVita, Rich" [REDACTED]

Subject: [REDACTED]

Rich:

Hope all is well.

**Non-Agency Record**

As part of the paperwork, a few questions have arise about the [REDACTED] I am hoping you can help me answer these:

[REDACTED]

Again, I hope these are easy. Time is apparently very tight.

But then again, what else is new?

Let me know, and thanks in advance.

MM

<Mulvaney [REDACTED].pdf>

**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Jim Robertson](#)  
**Cc:** [Sutton, Yasaman P. EOP/OMB](#)  
**Subject:** RE: report adjustment  
**Date:** Tuesday, January 10, 2017 12:57:26 PM

---

Thank you.

The way you entered it looks good.

(b) (5)

-----Original Message-----

**From:** Jim Robertson [<mailto:jfrobert@oge.gov>]  
**Sent:** Tuesday, January 10, 2017 12:52 PM  
**To:** Sutton, Yasaman P. EOP/OMB (b) (5)  
**Subject:** report adjustment

Yasi,

Wanted to make this adjustment before I forgot about it (b) (5)

Let me know if that doesn't look right to you.

Thanks,

Jim

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**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Jim Robertson](#)  
**Cc:** [Sutton, Yasaman P. EOP/OMB](#)  
**Subject:** RE: Mulvaney draft EA  
**Date:** Tuesday, January 10, 2017 1:42:43 PM  
**Attachments:** [YS Edits -- Mulvaney -- DRAFT Ethics Agreement -- January 10, 2017 -- 1300.docx](#)

3 page attachment withheld in full - (b)(3), (4), (5), (6)

My edits and additional comments are attached.

Thank you!

-----Original Message-----

**From:** Jim Robertson [<mailto:jfrobert@oge.gov>]  
**Sent:** Tuesday, January 10, 2017 12:44 PM  
**To:** Sutton, Yasaman P. EOP/OMB (b) (6)  
**Subject:** Mulvaney draft EA

EA attached, for your review.

No attachment found in search

Thanks,

Jim

Jim Robertson

Assistant Counsel

General Counsel & Legal Policy Division

U.S. Office of Government Ethics

James.robertson@oge.gov

202-482-9268

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**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Jim Robertson](#)  
**Cc:** [Sutton, Yasaman P. EOP/OMB](#)  
**Subject:** FW: Representative Mulvaney -- Nominee 278 -- FOLLOW-UP QUESTIONS  
**Date:** Wednesday, January 11, 2017 9:23:50 AM  
**Attachments:** (b)(3), (b)(6) [docx](#)

---

1 page attachment withheld in full - (b)(3), (4), (5), (6)

Jim,

Making sure I sent these responses on your last round of questions.

Ready to talk when you are.

Thank you!

V/R, Yasi

-----Original Message-----

**From:** Mick Mulvaney (b)(3), (b)(6)  
**Sent:** Tuesday, January 10, 2017 9:17 PM  
**To:** Sutton, Yasaman P. EOP/OMB (b)(3), (b)(6); Marcus Peacock (b)(3), (b)(6)  
**Subject:** Re: Representative Mulvaney -- Nominee 278 -- FOLLOW-UP QUESTIONS

See below:

A few follow up questions.

(b)(3), (5), (6)

(b)(3), (b) (6)



MM

Rest of chain mentioned above



**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Cheryl L. Kane-Piasecki](#)  
**Cc:** [Jim Robertson](#); [Sutton, Yasaman P. EOP/OMB](#)  
**Subject:** RE: (b) (5)  
**Date:** Wednesday, January 11, 2017 12:54:29 PM

---

Thank you -- (b) (5)

Thank you, again!

-----Original Message-----

From: Cheryl L. Kane-Piasecki [<mailto:clkane@oge.gov>]  
Sent: Wednesday, January 11, 2017 12:39 PM  
To: Sutton, Yasaman P. EOP/OMB (b) (5)  
Cc: Jim Robertson <jfrobert@oge.gov>  
Subject: RE: (b) (5)

Yasi--

(b) (5)

Thanks!

Cheryl

-----Original Message-----

From: Sutton, Yasaman P. EOP/OMB (b) (5)  
Sent: Wednesday, January 11, 2017 11:54 AM  
To: Cheryl L. Kane-Piasecki  
Cc: Jim Robertson; Sutton, Yasaman P. EOP/OMB  
Subject: (b) (5)

Hi, Cheryl --

Two Things.

(b) (5)

Thank you for helping me think ahead through this.

V/R, Yasi

Yasaman Sutton  
Assistant General Counsel  
Office of Management and Budget

(b) (6)  
desk

(b) (6)  
work cell --- please do not hesitate to call if not at my desk

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**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Jim Robertson](#)  
**Cc:** [Sutton, Yasaman P. EOP/OMB](#)  
**Subject:** FW: Action Items (including an additional item)  
**Date:** Wednesday, January 11, 2017 2:45:28 PM

---

Good to go on this proposed language.

-----Original Message-----

From: Mick Mulvaney (b) (6)  
Sent: Wednesday, January 11, 2017 2:04 PM  
To: Sutton, Yasaman P. EOP/OMB (b) (6)  
Subject: Re: Action Items (including an additional item)

SEE BELOW:

>  
> Please also review this draft language for the Ethics Agreement.

(b)(3), (b) (5), (b) (6)

>  
> -- Is this correct?

THIS IS FINE. (b) (6) ?

>  
> Thank you.  
>  
> V/R, Yasi

>  
>  
>  
>  
>  
>  
> -----Original Message-----

> From: Sutton, Yasaman P. EOP/OMB  
> Sent: Wednesday, January 11, 2017 1:20 PM  
> To: Mick Mulvaney (b) (6)  
> Cc: Sutton, Yasaman P. EOP/OMB (b) (6)  
> Subject: RE: Action Items (including an additional item)

>  
> (b)(3), (b) (5), (b) (6)

> -----Original Message-----

> From: Mick Mulvaney (b) (6)  
> Sent: Wednesday, January 11, 2017 1:15 PM  
> To: Sutton, Yasaman P. EOP/OMB (b) (6)  
> Subject: Re: Action Items (including an additional item)  
>  
> Docs to follow shortly.  
>  
> (b) (3), (6)  
>  
>  
> MM  
>  
>  
>> On Jan 11, 2017, at 1:02 PM, Sutton, Yasaman P. EOP/OMB (b) (6) wrote:  
>>  
>> Mick,  
>>  
>> Thank you for your call.  
>>  
>> Where we are.  
>>  
>> 1 - Need House reports.  
>> 2 - Need Senate questionnaires.  
>> 3 - Please review report in Integrity.  
>> 4 - EA is incoming.  
>> 5 - Need date that (b) (3), (6) was formed.  
>>  
>> Thank you.  
>>  
>> V/R, Yasi  
>>  
>> Yasaman Sutton  
>> Assistant General Counsel  
>> Office of Management and Budget  
>> (b) (6) desk  
>> (b) (6) work cell --- please do not hesitate to call if not at my desk  
>>  
>> Please submit event attendance requests here: Nonresponsive network info  
>>  
>>  
>>  
>

**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Jim Robertson](#)  
**Subject:** Re: Two Questions  
**Date:** Thursday, January 12, 2017 8:17:35 AM

---

Are you in yet?

Will call to discuss something.

Re (b)(3), (b) [REDACTED] and also get status of the review

Sent from my iPhone

> On Jan 12, 2017, at 8:14 AM, Jim Robertson <jfrobert@oge.gov> wrote:

>

>

>

> Jim Robertson

> Assistant Counsel

> General Counsel & Legal Policy Division

> U.S. Office of Government Ethics

> James robertson@oge.gov

> 202-482-9268

>

>

>

> -----Original Message-----

> From: Sutton, Yasaman P. EOP/OMB (b) (6) [REDACTED]

> Sent: Wednesday, January 11, 2017 5:47 PM

> To: Jim Robertson

> Subject: Re: Two Questions

>

> What Is your desk number

>

>

>

>

> Sent from my iPhone

>

>> On Jan 11, 2017, at 4:53 PM, Jim Robertson <jfrobert@oge.gov> wrote:

>>

>> Yasi,

>>

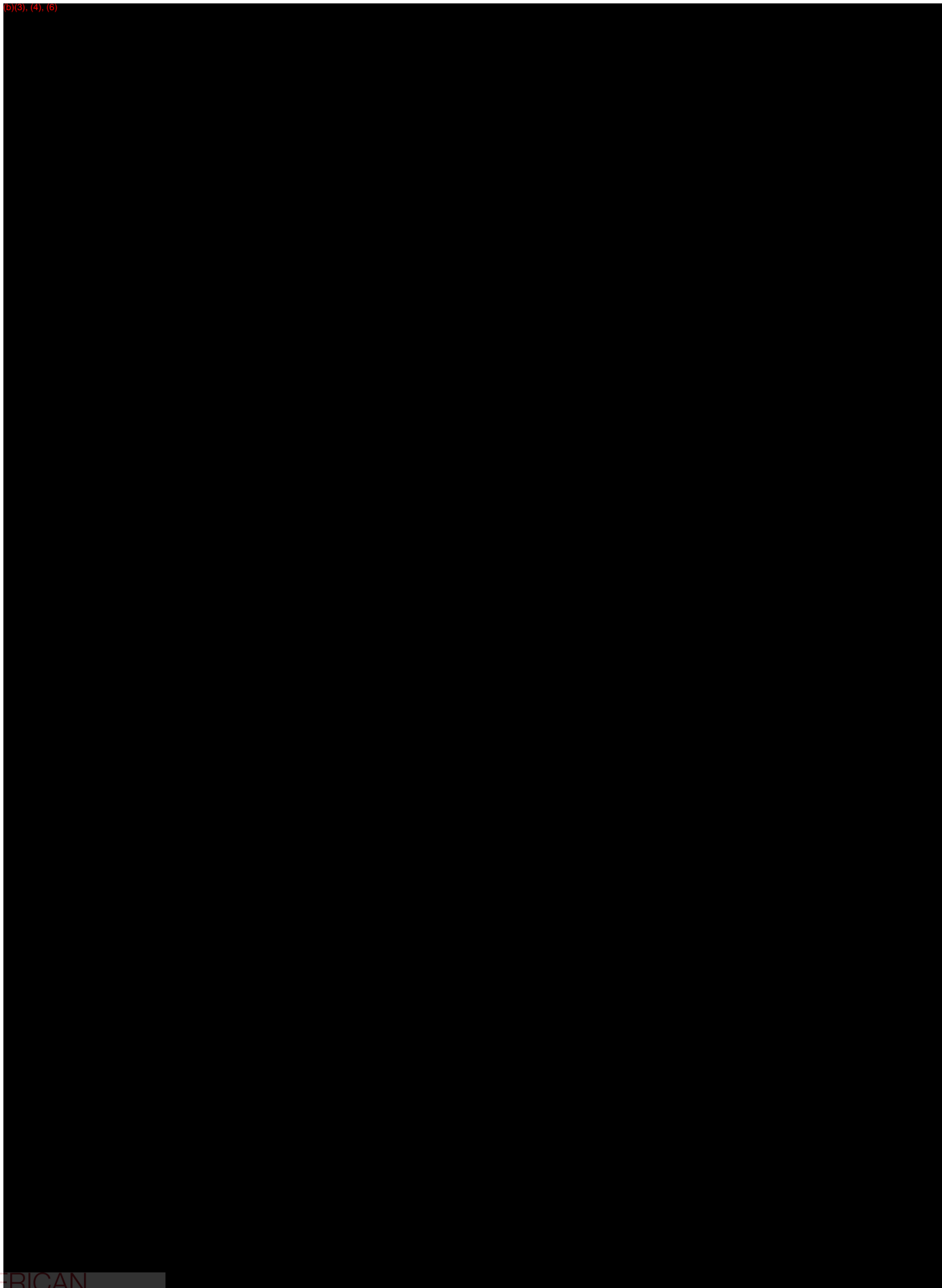
(b)(3), (4), (5), (6) [REDACTED]

>> Hope that helps,

>> Jim

>>

>>



(b)(3), (4), (6)

>>

>>

>>

>> -----Original Message-----

>> From: Sutton, Yasaman P. EOP/OMB (b)(3), (6)

>> Sent: Wednesday, January 11, 2017 4:15 PM

>> To: Jim Robertson

>> Cc: Sutton, Yasaman P. EOP/OMB

>> Subject: RE: Two Questions

>>

>> Correction, (b)(3), (6).

>>

>>

>>

>> -----Original Message-----

>> From: Sutton, Yasaman P. EOP/OMB

>> Sent: Wednesday, January 11, 2017 4:13 PM

>> To: Jim Robertson <jfrobert@oge.gov>

>> Cc: Sutton, Yasaman P. EOP/OMB (b)(3), (6)

>> Subject: Two Questions

>>

>> Jim,

>>

>> Left you a VM.

>>

>> 1 - Did you ask Deb about the city and state for the (b)(3), (6) ?

>> 2 - Did you ask Deb about how we can determine if the (b)(3), (6) ? In the meantime, I will ask him to call the (b)(3), (6)

>>

>> Thank you.

>>

>> V/R, Yasi

>>

>> Yasaman Sutton

>> Assistant General Counsel

>> Office of Management and Budget

>> (b)(3), (6) desk

>> (b) (6) work cell --- please do not hesitate to call if not at my

>> desk

>>

>> Please submit event attendance requests here: Nonresponsive network info

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**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Jim Robertson](#)  
**Subject:** Fwd: (b)(3), (b)(6)  
**Date:** Thursday, January 12, 2017 11:01:31 AM

---

Sent from my iPhone

Begin forwarded message:

From: David Finnie (b)(6) >  
Date: January 12, 2017 at 10:51:45 AM EST  
To: "Sutton, Yasaman P. EOP/OMB" (b)(6) >  
Cc: Mick Mulvaney (b)(6) >, Rich Devita (b)(6) >  
Subject: RE: (b)(3), (b)(6)

Ms. Sutton,

(b)(3), (b)(5), (b)(6)  
(b)(5), (b)(6)

Thanks, David

-----Original Message-----

From: Sutton, Yasaman P. EOP/OMB (b)(6)  
Sent: Thursday, January 12, 2017 10:07 AM  
To: David Finnie  
Cc: Mick Mulvaney; Rich Devita; Sutton, Yasaman P. EOP/OMB  
Subject: Re (b)(3), (b)(6)

Sirs,

Thank you, all.

Mr. Finnie,

(b)(3), (b)(5), (b)(6)

I am available to talk, as well, if needed.

Thank you, again.

VR,  
Yasi

(b)(6)

On Jan 12, 2017, at 10:00 AM, David Finnie (b)(6) >> wrote:

Mick,

(b) (5), (4), (6)

David

-----Original Message-----

From: Mick Mulvaney (b) (5)  
Sent: Thursday, January 12, 2017 9:12 AM  
To: Yasaman P. EOP/OMB Sutton  
Cc: David Finnie; Rich Devita  
Subject: (b) (5), (6)

Yasi:

Copied on this letter are my (b) (5). As you and I have discussed, we have now moved beyond my relatively rudimentary understanding of (b) (5), and having me continue to act as a go-between on the topic is likely to only muddle things further.

Please feel free to reach out to them directly if you have any questions.

Gentlemen: (b) (5)

Thanks very much to all involved. Let me know if I can be of service.

Mick M.



**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Jim Robertson](#)  
**Cc:** [Sutton, Yasaman P. EOP/OMB](#)  
**Subject:** UPDATE on (b)(3), (b)(7)  
**Date:** Thursday, January 12, 2017 1:39:20 PM

---

(b) (5)

(b)(3), (b)(7)

(b)(3), (6)

He will email me to that effect.

Thank you.

Yasaman Sutton  
Assistant General Counsel  
Office of Management and Budget

(b) (6)

desk

(b) (6)

work cell --- please do not hesitate to call if not at my desk

Please submit event attendance requests here: [Noresponsive network info](#)

**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Jim Robertson](#)  
**Cc:** [Sutton, Yasaman P. EOP/OMB](#)  
**Subject:** FW: (b) (3), (6)  
**Date:** Thursday, January 12, 2017 1:55:58 PM  
**Attachments:** [Mulvaney, Michael](#) (b) (3), (6) [1.12.2017.pdf](#)

7 page attachments withheld in full - (b) (3), (4), (6)

Here you go!

-----Original Message-----

**From:** DeVita, Rich (b) (6)  
**Sent:** Thursday, January 12, 2017 1:53 PM  
**To:** Sutton, Yasaman P. EOP/OMB (b) (6); David Finnie  
<(b) (6)>  
**Cc:** Mick Mulvaney (b) (6)  
**Subject:** (b) (3), (6)

Yasi:

(b) (3), (4), (6)

I hope this helps. Please let me know if you need further information.

Regards,  
Rich DeVita

Richard A. DeVita

Principal

The Todd Organization

6235 Morrison Boulevard

Charlotte, NC 28211-3508

Ph. (b) (6)

(b) (6)

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-----Original Message-----

From: Sutton, Yasaman P. EOP/OMB (b) (6)  
Sent: Thursday, January 12, 2017 12:58 PM  
To: DeVita, Rich (b) (6) >; David Finnie (b) (6) >  
Cc: Mick Mulvaney (b) (6) >; Sutton, Yasaman P. EOP/OMB (b) (6) >  
Subject: RE: (b) (3), (b) (6)

That's right, 1330. Thank you.

-----Original Message-----

From: DeVita, Rich (b) (6)  
Sent: Thursday, January 12, 2017 12:57 PM  
To: Sutton, Yasaman P. EOP/OMB (b) (6) >; David Finnie (b) (6) >  
Cc: Mick Mulvaney (b) (6) >  
Subject: RE (b) (3), (b) (6)

1:30 which would be 1330 please

Sent from my Verizon, Samsung Galaxy smartphone

----- Original message -----

From: "Sutton, Yasaman P. EOP/OMB" (b) (6)  
Date: 1/12/17 12:54 PM (GMT-05:00)  
To: "DeVita, Rich" (b) (6) David Finnie (b) (6)  
Cc: Mick Mulvaney (b) (6) "Sutton, Yasaman P. EOP/OMB" (b) (6)  
Subject: RE: ILIT

CONFIRMED for 1300 EST -- I will call you.

Thank you!!

-----Original Message-----

From: DeVita, Rich (b) (6) ]  
Sent: Thursday, January 12, 2017 12:51 PM  
To: Sutton, Yasaman P. EOP/OMB (b) (6) >; David Finnie (b) (6) >  
Cc: Mick Mulvaney (b) (6)  
Subject: RE (b) (3), (b) (6)

Certainly, I am available at 1:30 at (b) (6). If you prefer a different time, please suggest one. I'm generally available until 4pm.

Sent from my Verizon, Samsung Galaxy smartphone

----- Original message -----

From: "Sutton, Yasaman P. EOP/OMB" (b) (6)  
Date: 1/12/17 12:03 PM (GMT-05:00)  
To: David Finnie (b) (6) >  
Cc: Mick Mulvaney (b) (6) "DeVita, Rich" (b) (6) "Sutton, Yasaman P. EOP/OMB" (b) (6)  
Subject: RE (b) (6), (b) (6)

Mr. Finnie - Thank you! Very helpful.

Mr. DeVita - Can I call you to discuss, if that will be easier?

Thank you, all, again.

V/R, Yasi

(b) (6)

Yasaman Sutton  
Assistant General Counsel  
Office of Management and Budget  
(b) (6) desk

Rest of chain mentioned above

**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Jim Robertson](#)  
**Cc:** [Sutton, Yasaman P. EOP/OMB](#)  
**Subject:** RE: sector versus diversified  
**Date:** Thursday, January 12, 2017 2:30:30 PM

---

Thank you.

I have an update we need to discuss. Developing. (b)(3), (b) [REDACTED].

-----Original Message-----

From: Jim Robertson [<mailto:jfrobert@oge.gov>]  
Sent: Thursday, January 12, 2017 2:23 PM  
To: Sutton, Yasaman P. EOP/OMB <(b)(3), (b) [REDACTED]>  
Subject: RE: sector versus diversified

Yes. (b)(3), (b) [REDACTED]  
(b)(3), (b) [REDACTED].

-----Original Message-----

From: Sutton, Yasaman P. EOP/OMB (b)(3), (b) [REDACTED]  
Sent: Thursday, January 12, 2017 1:40 PM  
To: Jim Robertson  
Cc: Sutton, Yasaman P. EOP/OMB  
Subject: RE: sector versus diversified

Thank you.

Did you confirm that (b)(3), (b) [REDACTED]

-----Original Message-----

From: Jim Robertson [<mailto:jfrobert@oge.gov>]  
Sent: Thursday, January 12, 2017 1:28 PM  
To: Sutton, Yasaman P. EOP/OMB <(b)(3), (b) [REDACTED]>  
Subject: RE: sector versus diversified

Yasi,

The following funds are diversified:

(b)(3), (b) [REDACTED]

Thanks,  
Jim

-----Original Message-----

From: Sutton, Yasaman P. EOP/OMB (b)(3), (b) [REDACTED]  
Sent: Thursday, January 12, 2017 9:36 AM  
To: Jim Robertson  
Subject: Re: sector versus diversified

(b) (5), (b) (6)

Sent from my iPhone

On Jan 12, 2017, at 9:23 AM, Jim Robertson <jfrobert@oge.gov<<mailto:jfrobert@oge.gov>>> wrote:

Yasi,

Let me know what you think.

Thanks,

Jim

Jim Robertson  
Assistant Counsel  
General Counsel & Legal Policy Division  
U.S. Office of Government Ethics  
James.robertson@oge.gov<<mailto:James.robertson@oge.gov>>  
202-482-9268

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**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Jim Robertson](#)  
**Subject:** Re: One More  
**Date:** Thursday, January 12, 2017 4:19:22 PM

---

Thank you

Sent from my iPhone

> On Jan 12, 2017, at 4:09 PM, Jim Robertson <jfrobert@oge.gov> wrote:

>

> Couple of tweaks to the report:

>

(b)(3), (b)(6)

> Jim

> -----Original Message-----

> From: Sutton, Yasaman P. EOP/OMB (b)(6)

> Sent: Thursday, January 12, 2017 3:33 PM

> To: Jim Robertson

> Subject: RE: One More

>

> And the (b)(3), (b)(6)

>

> -----Original Message-----

> From: Sutton, Yasaman P. EOP/OMB

> Sent: Thursday, January 12, 2017 3:29 PM

> To: Jim Robertson <jfrobert@oge.gov>

> Cc: Sutton, Yasaman P. EOP/OMB (b)(6)

> Subject: RE: One More

>

(b)(3), (b)(6)

>

>

>

>

>

> -----Original Message-----

> From: Jim Robertson [<mailto:jfrobert@oge.gov>]

> Sent: Thursday, January 12, 2017 3:28 PM

> To: Sutton, Yasaman P. EOP/OMB (b)(6)

> Subject: RE: One More

(b)(3), (b)(6)

> Jim

>

> -----Original Message-----

> From: Sutton, Yasaman P. EOP/OMB (b) (6)  
> Sent: Thursday, January 12, 2017 3:16 PM  
> To: Jim Robertson  
> Subject: Fwd: One More  
>  
>  
>  
> Sent from my iPhone  
>  
> Begin forwarded message:  
>  
> From: Mick Mulvaney (b) (6) >>  
> Date: January 12, 2017 at 3:12:12 PM EST  
> To: "Sutton, Yasaman P. EOP/OMB"  
(b) (6)  
> Subject: One More

>  
> MM

>  
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**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Jim Robertson](#)  
**Subject:** Re: (b)(3), (6)  
**Date:** Thursday, January 12, 2017 4:27:22 PM

---

Thank you!

Sent from my iPhone

> On Jan 12, 2017, at 4:25 PM, Jim Robertson <jfrobert@oge.gov> wrote:

>

> Yes. Got it.

>

> -----Original Message-----

> From: Sutton, Yasaman P. EOP/OMB (b)(6)

> Sent: Thursday, January 12, 2017 4:25 PM

> To: Jim Robertson

> Subject: Fwd: (b)(3), (6)

>

> Are you in a position to enter these?

>

>

>

> Sent from my iPhone

>

> Begin forwarded message:

>

> From: "DeVita, Rich" (b)(6) >>

> Date: January 12, 2017 at 4:20:59 PM EST

> To: "Sutton, Yasaman P. EOP/OMB"

> (b)(6)

> Cc: Mick Mulvaney (b)(6)

> Subject: RE: (b)(3), (6)

>

> Yasi:

(b)(3), (4), (6)

> Please let me know if you need any further clarification.

> Regards,

> Rich

>

>

> Richard A. DeVita

>

> Principal

>

> The Todd Organization

>

> 6235 Morrison Boulevard

>

> Charlotte, NC 28211-3508

>

> Ph. (b) (6)

>

> (b) (6)

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> -----Original Message-----

> From: Sutton, Yasaman P. EOP/OMB (b) (6)

> Sent: Thursday, January 12, 2017 3:59 PM

> To: DeVita, Rich (b) (6)

> Cc: Mick Mulvaney (b) (6); Sutton, Yasaman P.

EOP/OMB (b) (6)

> Subject: (b) (3), (b) (6)

>

> Rich,

(b) (3), (b) (6)

>

> Thank you, again.

>

> V/R, Yasi

> (b) (6)

>

>

>

> Yasaman Sutton

> Assistant General Counsel

> Office of Management and Budget

> (b) (6) desk

>

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>

**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Jim Robertson](#)  
**Subject:** Re: Update  
**Date:** Friday, January 13, 2017 11:19:33 AM

---

Thank you

Sent from my iPhone

> On Jan 13, 2017, at 11:10 AM, Jim Robertson <jfrobert@oge.gov> wrote:

>

> OGE cannot release ethics materials to the senate committees until the PTT authorizes that release. Once OGE preclears, that decision to send to Senate will happen on PTT timeline.

> I'm not aware of any OGE paperwork that needs to be notarized. Can't speak to the senate questionnaire or other documents he is required to submit.

>

> (b)(3), (5), (6)

[REDACTED]

>

> It appears from his answer below that this is a doable arrangement/commitment.

>

> Jim

>

> Jim Robertson

> Assistant Counsel

> General Counsel & Legal Policy Division

> U.S. Office of Government Ethics

> James.robertson@oge.gov

> 202-482-9268

>

>

>

> -----Original Message-----

> From: Sutton, Yasaman P. EOP/OMB (b) (6)

> Sent: Friday, January 13, 2017 11:00 AM

> To: Jim Robertson

> Subject: Fwd: Update

>

>

>

> Sent from my iPhone

>

> Begin forwarded message:

>

> From: Mick Mulvaney <(b) (6)>

> Date: January 13, 2017 at 10:58:43 AM EST

> To: "Sutton, Yasaman P. EOP/OMB"

(b) (6)

> Subject: Re: Update

>

> Yes on the (b)(3), (6) that, so we should be good.

>  
> One question for you: do you have a feel for when we will have an EA that we can send to the committees, and on a related topic: will I need to notarize anything that you send me on the 278 or the EA?

>  
> MM

>  
>  
> On Jan 13, 2017, at 10:54 AM, Sutton, Yasaman P. EOP/OMB

(b) (6) > wrote:

>  
> Thank you.

(b) (3), (5), (6)

>  
>  
>  
> -----Original Message-----

> From: Mick Mulvaney (b) (6) ]

> Sent: Friday, January 13, 2017 10:26 AM

> To: Sutton, Yasaman P. EOP/OMB

(b) (6)

> Subject: Re: Update

(b) (3), (6)

>  
> Where does that leave us?

>  
> MM

>  
>  
>  
>  
>  
> On Jan 13, 2017, at 10:21 AM, Sutton, Yasaman P. EOP/OMB

(b) (6) >> wrote:

>  
> Sir,

>  
> At this time, there are two outstanding issues:

(b) (3), (5), (6)

> The report is ready for you to look at to confirm accuracy or to raise any questions.

>  
> Your EA (which I have not seen since the initial first draft, although we have had follow-on discussions) is being prepared for the OGE Director's review. From there, you are in pre clearance.

>  
> V/R, Yasi

>  
> Yasaman Sutton  
> Assistant General Counsel  
> Office of Management and Budget  
> (b) (6) desk  
> (b) (6) work cell --- please do not hesitate to call if not at my desk  
>

> Please submit event attendance requests (b) (6) Nonresponsive network info .

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**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Jim Robertson](#)  
**Subject:** any updates? EA soon?  
**Date:** Friday, January 13, 2017 2:31:39 PM

---

Yasaman Sutton  
Assistant General Counsel  
Office of Management and Budget

(b) (6)

desk

(b) (6)

work cell --- please do not hesitate to call if not at my desk

Please submit event attendance requests here: [Nonresponsive network info](#)

**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Jim Robertson](#)  
**Subject:** we are going to make changes to 278 now  
**Date:** Friday, January 13, 2017 4:37:17 PM

---

Yasaman Sutton  
Assistant General Counsel  
Office of Management and Budget

(b) (6) desk

(b) (6) work cell --- please do not hesitate to call if not at my desk

Please submit event attendance requests here: [Nonresponsive network info](#).

**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Jim Robertson](#)  
**Subject:** workign changes with nominee -- sit tight  
**Date:** Friday, January 13, 2017 4:40:19 PM

---

Yasaman Sutton  
Assistant General Counsel  
Office of Management and Budget

(b) (6) desk

(b) (6) work cell --- please do not hesitate to call if not at my desk

Please submit event attendance requests here: (b) (6) Nonresponsive network info



**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Jim Robertson](#)  
**Cc:** [Deborah J. Bortot](#); [Heather A. Jones](#); [Sutton, Yasaman P. EOP/OMB](#)  
**Subject:** RE: weekend correspondence  
**Date:** Friday, January 13, 2017 5:12:09 PM

---

Dear Deb, Heather, and Jim --

Thank you all for your work on this.

Finalized 278 for our side is in Integrity.

(b) (5)

Standing by for any questions or changes from OGE.

Thank you, again!

V/R, Yasi

Cell, (b) (6)

Yasaman Sutton  
Assistant General Counsel  
Office of Management and Budget

(b) (6) desk

(b) (6) work cell --- please do not hesitate to call if not at my desk

Please submit event attendance requests here [Nonresponsive network info](#).

-----Original Message-----

From: Sutton, Yasaman P. EOP/OMB  
Sent: Friday, January 13, 2017 5:04 PM  
To: Jim Robertson <jfrobert@oge.gov>  
Cc: Deborah J. Bortot <djbortot@oge.gov>; Heather A. Jones <hajones@oge.gov>; Sutton, Yasaman P. EOP/OMB  
(b) (6)  
Subject: RE: weekend correspondence

On the phone with nominee and finalizing 278 changes.

Thank you!

-----Original Message-----

From: Jim Robertson [<mailto:jfrobert@oge.gov>]  
Sent: Friday, January 13, 2017 4:35 PM  
To: Sutton, Yasaman P. EOP/OMB (b) (6) >  
Cc: Deborah J. Bortot <djbortot@oge.gov>; Heather A. Jones <hajones@oge.gov>  
Subject: weekend correspondence

Yasi,

I've added Deb and Heather on cc. Please include them on correspondence over the weekend. They can preclear when they hear from you that the Congressman is ready to go with his EA and 278.

Or work through any last-minute issues if the Congressman has adjustments.

Thanks,

Jim

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**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Deborah J. Bortot](#); [Jim Robertson](#)  
**Subject:** FW: PRECLEASED: John Michael Mulvaney  
**Date:** Friday, January 13, 2017 6:48:50 PM  
**Attachments:** [EA for preclearance Mulvaney signed 170113 7pm.pdf](#)

---

Final EA released below

-----Original Message-----

From: Marcus Peacock (b) (6)  
Sent: Friday, January 13, 2017 6:44 PM  
To: James Carroll (b) (6) >  
Cc: Mick Mulvaney (b) (6); Sutton, Yasaman P. EOP/OMB  
(b) (6) >  
Subject: Re: PRECLEASED: John Michael Mulvaney

Final EA released below

Attached is the Ethics Agreement signed by Mr. Mulvaney.

On Fri, Jan 13, 2017 at 6:34 PM, Marcus Peacock <(b) (6)> >  
> wrote:

Jim,

The OMB Ethics Officer has informed us that OGE has cleared our 278 and Ethics Agreement for Congressman Mulvaney. Mr. Mulvaney is in the process of signing the Ethics Agreement and the 278 (I will be assisting him with the latter). I understand PTT has to request OGE release the documents to the Senate. What do you understand to be the next step in this process and what do I need to do to make it happen?

Marcus

On Fri, Jan 13, 2017 at 6:22 PM, Sutton, Yasaman P. EOP/OMB (b) (6)  
> wrote:

SIR,

No attachment found in search

PRECLEASED ETHICS AGREEMENT ATTACHED FOR YOUR SIGNATURE!

PLEASE SIGN AND SEND BACK TO ME.

NO CHANGES TO YOUR 278.

STANDING BY FOR YOUR SIGNATURE ON THE ATTACHED.

THANK YOU!

VR, YASI

**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Jim Robertson](#)  
**Cc:** [Sutton, Yasaman P. EOP/OMB](#)  
**Subject:** Q re EA  
**Date:** Friday, January 13, 2017 7:02:04 PM

---

Jim,

The DAEO is off boarding next Tuesday and off the books next Thursday.

Should her name be on the EA if she's not the DAEO at the time I sign the 278?

Thank you!

VR,  
Yasi

Sent from my iPhone

**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Deborah J. Bortot](#)  
**Cc:** [Jim Robertson](#); [Sutton, Yasaman P. EOP/OMB](#)  
**Subject:** RE: PRECLEARED: John Michael Mulvaney  
**Date:** Saturday, January 14, 2017 12:13:36 PM

---

Deb,

Our nominee's PTT handler is telling me that (1) OGE has been given permission by the PTT to release the forms to the Senate and that (2) they have people on the Budget Committee who are awaiting the documents both from OGE and by hand delivery from the PTT.

I understand and have explained my understanding that OGE will notify me to notify the nominee when OGE is clear to release the 278 for final certification and reviews.

Please advise.

Standing by to talk, if that is preferred, (b) (6)

Thank you!

V/R, Yasi  
(b) (6)

-----Original Message-----

From: Deborah J. Bortot [<mailto:djbortot@oge.gov>]

Sent: Friday, January 13, 2017 6:16 PM

To: 'Ann M Donaldson' (b) (6) >

Cc: Jim Robertson <jfrobert@oge.gov>; David J. Apol <djapol@oge.gov>; Heather A. Jones <hajones@oge.gov>;

Sandra S. Mabry <ssmabry@oge.gov>; Keith Labedz <klabedz@oge.gov>; Teresa L. Williamson

<tlwillia@oge.gov>; Rodrick T. Johnson <rjohnson@oge.gov>; Emory A. Rounds III <earounds@oge.gov>;

Sutton, Yasaman P. EOP/OMB (b) (6) >

Subject: PRECLEARED: John Michael Mulvaney

Annie, John Michael Mulvaney is precleared.

Jim, please forward the ethics agreement to Annie.

Thanks!

Deb

Deborah J. Bortot

Chief, Presidential Nominations Branch

U.S. Office of Government Ethics

**From:** [Deborah J. Bortot](#)  
**To:** [Teresa L. Williamson](#)  
**Subject:** RE: Representative John Michael Mulvaney  
**Date:** Saturday, January 14, 2017 12:37:17 PM

---

The committee is asking for the paperwork, but the filer still has to sign. It sounds like the agency will be signing around 3:00 today

---

**From:** Teresa L. Williamson  
**Sent:** Saturday, January 14, 2017 12:31 PM  
**To:** Deborah J. Bortot  
**Subject:** Re: Representative John Michael Mulvaney

Deb - [REDACTED] - I will check in when I get home if you need me to send the package to the Senate

Sent from my BlackBerry 10 smartphone on the Verizon Wireless 4G LTE network.

---

**From:** Deborah J. Bortot  
**Sent:** Saturday, January 14, 2017 12:10 PM  
**To:** Teresa L. Williamson  
**Subject:** Fw: Representative John Michael Mulvaney

Sent from my BlackBerry 10 smartphone on the Verizon Wireless 4G LTE network.

---

**From:** Ann M Donaldson <[REDACTED]>  
**Sent:** Friday, January 13, 2017 9:34 PM  
**To:** Deborah J. Bortot; Heather A. Jones  
**Subject:** Representative John Michael Mulvaney

On behalf of the President-Elect, this email serves as confirmation that the President-Elect intends to nominate Representative John Michael Mulvaney to be Director of the Office of Management and Budget. Please transmit his pre-cleared 278 report to the appropriate Senate committee.

Ann M. Donaldson  
Associate  
[JONES DAY® - One Firm Worldwide<sup>SM</sup>](#)  
51 Louisiana Avenue, NW  
Washington, DC 20001  
Office +1 [REDACTED]

=====  
This e-mail (including any attachments) may contain information that is private, confidential, or protected by attorney-client or other privilege. If you received this e-mail in error, please delete it from your system without copying it and notify sender by reply e-mail, so that our records can be corrected.  
=====

**From:** [Deborah J. Bortot](#)  
**To:** [David J. Apol](#)  
**Subject:** Mulvaney  
**Date:** Saturday, January 14, 2017 12:42:38 PM

---

PTT has authorized us to forward the paperwork to the committee. We are getting a lot of pressure to get the final paperwork to the committee. I am working with Yasi to get the filer and OMB to do the final submission. I'll reach out to Walt about certifying in Integrity once the filer and agency certify. Teresa is on her way to visit (b) (6). If Teresa is not available, I will get the paperwork to the committee.

**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Walter M. Shaub](#)  
**Cc:** [Deborah J. Bortol](#); [Heather A. Jones](#); [Jim Robertson](#); [Sutton, Yasaman P. EOP/OMB](#)  
**Subject:** Representative Mulvaney -- Nominee for OMB Director -- Ethics Agreement & Transmittal Note  
**Date:** Saturday, January 14, 2017 2:28:49 PM  
**Attachments:** [Mulvaney -- Signed Ethics Agreement -- January 13, 2017.pdf](#)

---

Attachments released below

Dear Walt,

I have reviewed and certified in Integrity the Public Financial Disclosure Report (OGE Form 278e), dated January 14, 2017, submitted by Representative John Michael Mulvaney, in connection with President-Elect Trump's intent to nominate him to serve as Director of the Office of Management and Budget.

Attached please find the Ethics Agreement, dated January 13, 2017, from Representative Mulvaney specifying certain actions that he will take in connection with ethics matters, if confirmed as Director.

Based on my review of Representative Mulvaney's OGE Form 278e and the attached Ethics Agreement, it is my opinion, in consultation with OGE, that the report is complete and discloses no conflicts of interest under applicable laws and regulations.

I will transmit a signed version of this letterhead to you on Tuesday.

Please do not hesitate to reach me with any questions or concerns, (b) (6)

Thank you to you and your team for your assistance, as always.

Very Respectfully Submitted,

Yasi

Yasaman Sutton  
Assistant General Counsel  
Office of Management and Budget

(b) (6) desk  
(b) (6) work cell



**From:** [Deborah J. Bortot](#)  
**To:** (b)(6) - Yasaman Sutton's email address  
**Subject:** FW: We are ready to send Rep. Mulvaney sign his documents  
**Date:** Saturday, January 14, 2017 7:15:20 PM

---

---

**From:** Heather A. Jones  
**Sent:** Saturday, January 14, 2017 9:57 AM  
**To:** 'Sutton, Yasaman'  
**Cc:** Jim Robertson; Deborah J. Bortot; Teresa L. Williamson  
**Subject:** We are ready to send Rep. Mulvaney sign his documents

Yasi-

Please ask Rep. Mulvaney to sign his ethics agreement and certify his report in Integrity. Once OMB has signed off, please send the EA and the DAEO letter Jim, Deb, and myself and we will move it forward in OGE for signature and send to the Senate.

Thanks,  
Heather

Heather Jones  
(202) 482-9316  
Office of Government Ethics

Visit OGE's website: [www.oge.gov](http://www.oge.gov)  
Follow OGE on Twitter: @OfficeGovEthics

**From:** [Sutton, Yasaman P. EOP/OMB](#)  
**To:** [Walter M. Shaub](#)  
**Cc:** [Deborah J. Bortot](#); [Heather A. Jones](#); [Jim Robertson](#); [Sutton, Yasaman P. EOP/OMB](#)  
**Subject:** Representative Mulvaney -- Nominee for OMB Director -- Ethics Agreement & Formal Retransmittal Note  
**Date:** Wednesday, January 18, 2017 9:52:11 AM  
**Attachments:** [Mulvaney -- OMB Transmittal Letter & EA to OGE.pdf](#)

---

Attachments released below

Dear Walt,

Attached is the formal retransmittal note under letterhead, with the EA attached, in connection with the nomination of Representative Mulvaney for OMB Director.

Thank you, again!

V/R, Yasi

Yasaman Sutton  
Assistant General Counsel  
Office of Management and Budget

(b) (6) desk  
(b) (6) work cell

-----Original Message-----

**From:** Sutton, Yasaman P. EOP/OMB  
**Sent:** Saturday, January 14, 2017 2:28 PM  
**To:** Walter M. Shaub <wmshaub@oge.gov>  
**Cc:** Deborah J. Bortot <djbortot@oge.gov>; Heather A. Jones <hajones@oge.gov>; Jim Robertson <jfrobert@oge.gov>; Sutton, Yasaman P. EOP/OMB <(b) (6)>  
**Subject:** Representative Mulvaney -- Nominee for OMB Director -- Ethics Agreement & Transmittal Note

Final EA released below

Dear Walt,

I have reviewed and certified in Integrity the Public Financial Disclosure Report (OGE Form 278e), dated January 14, 2017, submitted by Representative John Michael Mulvaney, in connection with President-Elect Trump's intent to nominate him to serve as Director of the Office of Management and Budget.

Attached please find the Ethics Agreement, dated January 13, 2017, from Representative Mulvaney specifying certain actions that he will take in connection with ethics matters, if confirmed as Director.

Based on my review of Representative Mulvaney's OGE Form 278e and the attached Ethics Agreement, it is my opinion, in consultation with OGE, that the report is complete and discloses no conflicts of interest under applicable laws and regulations.

I will transmit a signed version of this letterhead to you on Tuesday.

Please do not hesitate to reach me with any questions or concerns, (b) (6).

Thank you to you and your team for your assistance, as always.

Very Respectfully Submitted,

Yasi

Yasaman Sutton

**From:** [Teresa L. Williamson](#)  
**To:** [Deborah J. Bortot](#)  
**Subject:** RE: Public Financial Disclosure Report John Michael Mulvaney  
**Date:** Wednesday, January 18, 2017 10:27:04 AM

---

Deb, I called and emailed the Budget committee – this is taken care of. Thanks

---

**From:** Deborah J. Bortot  
**Sent:** Tuesday, January 17, 2017 6:06 PM  
**To:** Teresa L. Williamson  
**Subject:** FW: Public Financial Disclosure Report John Michael Mulvaney

Final EA and final senate letter released below.  
278 financial disclosure report withheld in full - (b)  
(3) - Available at <https://extapps2.oge.gov/201/Presiden.nsf/PAS%20Index?OpenView>

Could you arrange for the Senate Rider page to pick up the paperwork?

---

**From:** Proctor, Kimberly (Budget) [REDACTED]  
**Sent:** Tuesday, January 17, 2017 5:43 PM  
**To:** Deborah J. Bortot  
**Cc:** Teresa L. Williamson  
**Subject:** FW: Public Financial Disclosure Report John Michael Mulvaney

Final EA and final senate letter released below.  
278 financial disclosure report withheld in full -  
(b)(3) - Available at <https://extapps2.oge.gov/201/Presiden.nsf/PAS%20Index?OpenView>

Deborah, hope you are well. I was wondering if it wouldn't be possible to deliver the original copies of Mr. Mulvaney's OGE letter and the original copy of the SF278? Adam is no longer with the committee and unfortunately we weren't aware of an agreement for us to pick up these documents. Please let us know if this is possible. Any help that you could give concerning this would be greatly appreciated. My direct line is [REDACTED] Thank you very much!!!

Kim Proctor  
Chief Clerk  
Senate Budget Committee

---

**From:** Deborah J. Bortot  
**Sent:** Saturday, January 14, 2017 3:31 PM  
**To:** [REDACTED]  
**Cc:** [REDACTED]; Teresa L. Williamson; Rodrick T. Johnson; Heather A. Jones; 'Ann M Donaldson'; Sandra S. Mabry; Emory A. Rounds III; David J. Apol  
**Subject:** Public Financial Disclosure Report John Michael Mulvaney

Good Afternoon,

Final EA and final senate letter released below. 278 financial disclosure report withheld in full - (b)(3) - Available at <https://extapps2.oge.gov/201/Presiden.nsf/PAS%20Index?OpenView>

I've attached the financial disclosure package for John Michael Mulvaney. President-Elect Trump has announced his intention to nominate Representative Mulvaney for the position of Director, Office of Management and Budget.

The hard copy of the attached documents will be placed at OGE reception for pick up by a Senate rider page per our agreement. If you have any questions, please contact Teresa Williamson @ 202-482-9283.

Please respond to this message to confirm receipt of the attached package, and please let me know in your response whether you will send a Senate rider page.

Thanks!

Deborah J. Bortot  
Chief, Presidential Nominations Branch  
U.S. Office of Government Ethics  
1201 New York Ave., NW, Suite 500  
Washington, DC 20005-3917  
Telephone: (202) 482-9227  
Facsimile: (202) 482-9237

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UNITED STATES OFFICE OF  
GOVERNMENT ETHICS



JAN 14 2017

The Honorable Michael Enzi  
Chairman  
Committee on the Budget  
United States Senate  
Washington, DC 20510

Dear Mr. Chairman:

In accordance with the Ethics in Government Act of 1978, I enclose a copy of the financial disclosure report filed by John Michael Mulvaney. President-Elect Trump has announced his intention to nominate Mr. Mulvaney for the position of Director, Office of Management and Budget.

We have reviewed the report and have obtained advice from the agency concerning any possible conflict in light of its functions and the nominee's proposed duties. Also enclosed is an ethics agreement outlining the actions that the nominee will undertake to avoid conflicts of interest. Unless a date for compliance is indicated in the ethics agreement, the nominee must fully comply within three months of confirmation with any action specified in the ethics agreement.

Based thereon, we believe that this nominee is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

Walter M. Shaub, Jr.  
Director

Enclosures

13 January 2017

Ms. Ilona Cohen  
Designated Agency Ethics Official  
Office of Management and Budget  
Washington, DC 20503

Dear Ms. Cohen:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Director of the Office of Management and Budget.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

I formed a holding company doing business as The Mulvaney Company, Inc., to hold and manage real estate investments. Upon confirmation, I will resign from my position as President of this entity but my spouse will continue to operate it. I will continue to have a financial interest in this entity, but I will not provide services material to the production of income. Instead, I will receive only passive investment income from it. I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of The Mulvaney Company, Inc., unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1).

Upon confirmation, I will resign from my position as managing member of MP/Collins Road, LLC, but my spouse will continue to operate it. I will continue to have a financial interest in this entity, but I will not provide services material to the production of income. Instead, I will receive only passive investment income from it. I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of MP/Collins Road, LLC, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1).

Upon confirmation, I will resign from my position as trustee of the Irrevocable Life Insurance Trust. I will not participate personally and substantially in any particular matter that to

my knowledge has a direct and predictable effect on the financial interests of this trust, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. 208(b)(2).

I will retain my positions as trustee of the three education trusts for my dependent children. I will not receive any fees for the services that I provide as a trustee during my appointment to the position of Director of OMB. I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of these trusts, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. 208(b)(2).

Within 90 days of confirmation, I will divest my interests in the entities listed below. With regard to each of these entities, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of the entity until I have divested it, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

1. Alerian MLP ETF (AMLP)
2. Adams Natural Resources Fund (PEO)
3. Central Fund of Canada (CEF)
4. DB Agriculture Fund (DBA)
5. Duff and Phelps Global Utility Income Fund (DPG)
6. First Trust National Gas ETF (FCG)
7. Global X Uranium ETF (URA)
8. Gold Miners Equity ETF (GDX)
9. iShares U.S. Medical Devices ETF (IHI)
10. iShares U.S. Pharmaceutical ETF (IHE)
11. iShares U.S. Utilities ETF (IDU)
12. Powershares Dynamic Oil and Gas Services ETF (PXJ)
13. Powershares Water Resources Portfolio (PHO)
14. ProShares Ultra Short Euro (EUO)
15. U.S. Global Jets Fund ETF (JETS)
16. Van Eck International Investors Gold Fund A (INIVX)
17. Van Eck Vectors Junior Gold Miners ETF (GDXJ)
18. Van Eck Vectors Rare Earth/Strategic Metals ETF (REMX)

I understand that I may be eligible to request a Certificate of Divestiture for qualifying assets and that a Certificate of Divestiture is effective only if obtained prior to divestiture. Regardless of whether I receive a Certificate of Divestiture, I will ensure that all divestitures discussed in this agreement occur within the agreed upon timeframes and that all proceeds are invested in non-conflicting assets.

I have been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

Sincerely,

A handwritten signature in blue ink, appearing to read "John Michael Mulvaney", with a long, sweeping horizontal line extending to the right.

John Michael Mulvaney





EXECUTIVE OFFICE OF THE PRESIDENT  
OFFICE OF MANAGEMENT AND BUDGET  
WASHINGTON, D.C. 20503

Yasaman Sutton  
Office of the General Counsel  
Office of Management and Budget  
725 17<sup>th</sup> Street, NW  
Washington, D.C. 20503

January 18, 2017

Walter M. Shaub, Jr.  
Director  
Office of Government Ethics  
1201 New York Avenue  
Suite 500  
Washington, DC 20005

Dear Mr. Shaub:

This is a formal re-transmittal under letterhead of the following information which was originally submitted to your office by email on January 14, 2017.

I have reviewed the Public Financial Disclosure Report (OGE Form 278e) (dated January 14, 2017), submitted by Representative John Michael Mulvaney, in connection with President-Elect Trump's intent to nominate him to serve as Director of the Office of Management and Budget.

Enclosed is a letter from Representative Mulvaney that specifies certain actions that he will take in connection with ethics matters if confirmed as Secretary.

Based on my review of Representative Mulvaney's OGE Form 278e and the enclosed letter, it is my opinion that the report is complete and discloses no conflicts of interest under applicable laws and regulations.

If you have any questions, please do not hesitate to reach me at 202-395-7535.

Very Respectfully,

Yasaman Sutton  
Assistant General Counsel and  
Alternate Designated Agency Ethics Official

Enclosure (as stated)

**From:** Teresa L. Williamson [mailto:tlwillia@oge.gov]

**Sent:** Thursday, December 22, 2016 11:08 AM

**To:** Heller, Susan ; Waters, Mike

**Subject:** RE: Points of Contact for Nominee Packages

**Importance:** High

Good Morning Susan and Mike,

I just wanted to check back with you on who will be the points of contact during the holidays.

Thanks!

Teresa

---

**From:** Teresa L. Williamson

**Sent:** Tuesday, December 20, 2016 2:00 PM

**To:** 'Heller, Susan'; Waters, Mike

**Subject:** Points of Contact for Nominee Packages

**Importance:** High

Good Afternoon,

I hope you are both doing well. We want to make sure we have a point of contact during the holidays on any new nominees that come in. Would you please provide contact information for staff from your office that will be working on the nominee packages over the next few weeks.

Thanks!  
Teresa  
Teresa Williamson  
Presidential Nominations Branch  
U.S. Office of Government Ethics  
1201 New York Avenue, NW - Suite 500  
Washington, DC 20005  
202-482-9283

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**From:** [Stephanie Nonluecha](#)  
**To:** ["Heller, Susan"](#)  
**Subject:** Nom Report  
**Date:** Tuesday, December 27, 2016 7:31:53 PM  
**Attachments:** [Initial questions for filer.docx](#)  
**Importance:** High

---

3 page attachment withheld in full - (b)(3),  
(4), (5), (6)

Susan,

I'm attaching my first-round review questions and comments for General Kelly's nominee 278.  
Please let me know if you want to discuss.

Best,


**Stephanie Nonluecha**

Program Analyst (Finance)  
U.S. Office of Government Ethics  
(202) 482-9243  
[snonlue@oge.gov](mailto:snonlue@oge.gov)

Visit OGE's website: [www.oge.gov](http://www.oge.gov)  
Follow OGE on Twitter: @OfficeGovEthics

**From:** [Stephanie Nonluecha](#)  
**To:** ["Heller, Susan"](#)  
**Subject:** RE: Gen Kelly  
**Date:** Friday, December 30, 2016 11:24:35 AM

(b)(3), (5), (6)



[Stephanie](#)

---

**From:** Stephanie Nonluecha  
**Sent:** Friday, December 30, 2016 11:06 AM  
**To:** 'Heller, Susan'  
**Subject:** RE: Gen Kelly

(b)(3), (6)



---

**From:** Stephanie Nonluecha  
**Sent:** Friday, December 30, 2016 10:38 AM  
**To:** 'Heller, Susan'  
**Subject:** RE: Gen Kelly

[Also need its location, city and state.](#)

Referral to DHS



**From:** Stephanie Nonluecha  
**Sent:** Thursday, December 29, 2016 4:28:47 PM  
**To:** Heller, Susan  
**Subject:** RE: Gen Kelly

Susan,

(b)(3), (5), (6)

Stephanie

Referral to DHS

**From:** Stephanie Nonluecha [<mailto:snonlue@oge.gov>]

**Sent:** Thursday, December 29, 2016 2:25 PM

**To:** Heller, Susan (b) (6)

**Subject:** RE: Gen Kelly

Referral to DHS

Referral to DHS



---

**From:** Stephanie Nonluecha  
**Sent:** Thursday, December 29, 2016 11:55:28 AM  
**To:** Heller, Susan  
**Subject:** RE: Gen Kelly

Ok. I'll look it over and call you later today.

Referral to DHS



**From:** [Emory A. Rounds III](#)  
**To:** [Stephanie Nonluecha](#)  
**Subject:** RE: CHECK-IN  
**Date:** Tuesday, January 03, 2017 2:27:36 PM

---

THANKS!

---

**From:** Stephanie Nonluecha  
**Sent:** Tuesday, January 03, 2017 2:27 PM  
**To:** Emory A. Rounds III  
**Subject:** RE: CHECK-IN

Hi Emory,

(b)(3), (6)

After which, the General will be asked to review both the updated 278 and draft EA for accuracy. This one should be ready for preclearance in a day or two.

Stephanie

---

**From:** Emory A. Rounds III  
**Sent:** Tuesday, January 03, 2017 1:13 PM  
**To:** Stephanie Nonluecha  
**Subject:** CHECK-IN

Good afternoon!

Just checking in on Kelly.

Thanks!

Emory



**From:** D'Adamo, Gabrielle (HSGAC)  
**To:** [Sandra S. Mabry](#)  
**Subject:** RE: OGE documents  
**Date:** Tuesday, January 03, 2017 3:41:37 PM

---

Hi Sandra,

I just left you a voicemail. Do you have any status update on Gen. Kelly's OGE documents you could share with me? I'm told the documents were released to OGE by the transition team on the 23<sup>rd</sup> or 24<sup>th</sup>. We are holding a hearing on the 11<sup>th</sup>, and hoping to get the OGE documents by the end of this week.

Thanks,  
Gabrielle

---

**From:** Sandra S. Mabry [mailto:ssmabry@oge.gov]  
**Sent:** Friday, December 23, 2016 3:10 PM  
**To:** D'Adamo, Gabrielle (HSGAC)  
**Subject:** RE: OGE documents

Probably 5:30, maybe later. Can you talk now?

---

**From:** D'Adamo, Gabrielle (HSGAC) (b) (6)  
**Sent:** Friday, December 23, 2016 3:10 PM  
**To:** Sandra S. Mabry  
**Subject:** Re: OGE documents

Thank you, Sandy. What time will you be in the office until?

---

**From:** Sandra S. Mabry  
**Sent:** Friday, December 23, 2016 2:45 PM  
**To:** D'Adamo, Gabrielle (HSGAC)  
**Cc:** Hixon, Christopher (HSGAC)  
**Subject:** RE: OGE documents

Hi, Gabrielle, please give me a call at 202-482-9258. Thanks, Sandy

---

**From:** D'Adamo, Gabrielle (HSGAC) (b) (6)  
**Sent:** Friday, December 23, 2016 12:15 PM  
**To:** Teresa L. Williamson; Sandra S. Mabry  
**Cc:** Hixon, Christopher (HSGAC)  
**Subject:** OGE documents

Teresa and Sandra,

Good afternoon. I was hoping you could provide me with some information about when we can expect to receive OGE documents for two of our nominees.

The most immediate concern is General Kelly, who will be nominated to be DHS Secretary. In

the past, because of the nature of the agency and its national security mission, this position has been confirmed on the day of inauguration. We expect to do the same for this administration. HSGAC is holding a hearing on Jan. 11.

Rep. Mulvaney will be nominated to serve as OMB Director. We expect to hold his hearing on Jan. 18.

Could you let me know when we can expect to receive the required ethics documents, or if there is another individual I should contact in the office?

Thank you,  
Gabrielle

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**From:** Stephanie Nonluecha [mailto:snonlue@oge.gov]  
**Sent:** Tuesday, January 3, 2017 2:05 PM  
**To:** Heller, Susan  
**Subject:** RE: Initial Questions: Nominee Financial Disclosure Report  
Susan,  
Please see draft EA attached.  
Stephanie

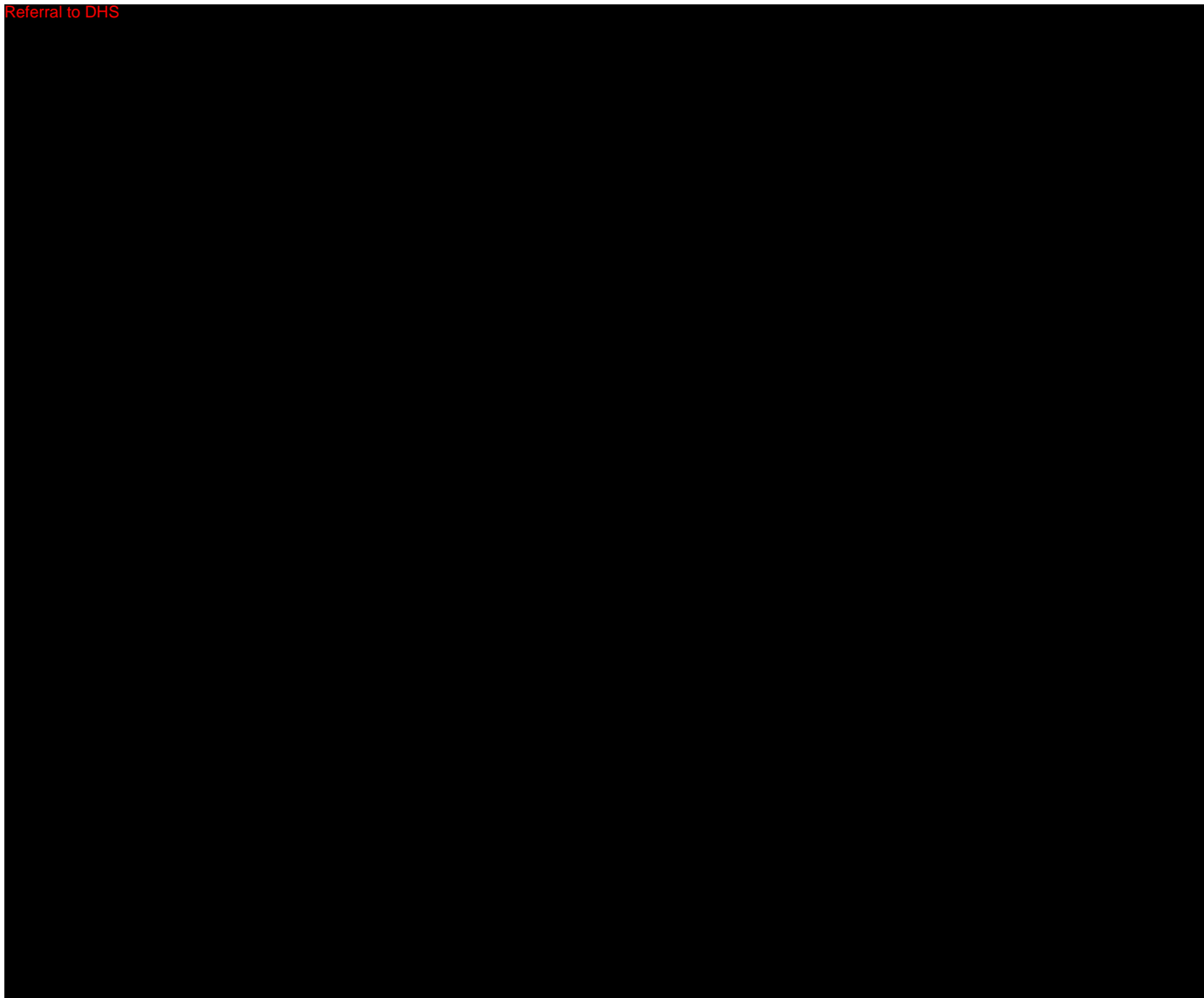
No attachment found in search

---

**From:** Stephanie Nonluecha  
**Sent:** Friday, December 30, 2016 6:19 PM  
**To:** 'Heller, Susan'  
**Subject:** RE: Initial Questions: Nominee Financial Disclosure Report  
Tuesday it is. Happy New Year!  
Stephanie

---

Referral to DHS



**From:** John F Kelly  
**Sent:** Friday, December 30, 2016 4:52:59 PM  
**To:** Heller, Susan  
**Subject:** RE: Initial Questions: Nominee Financial Disclosure Report

Susan,

(b)(3), (6)



(b)(3), (6)



Referral to DHS



Referral to DHS



**From:** John F Kelly (b) (6)  
**Sent:** Friday, December 30, 2016 10:24 AM  
**To:** Heller, Susan (b) (6)  
**Subject:** RE: Initial Questions: Nominee Financial Disclosure Report

(b) (3), (6)



Referral to DHS



Referral to DHS



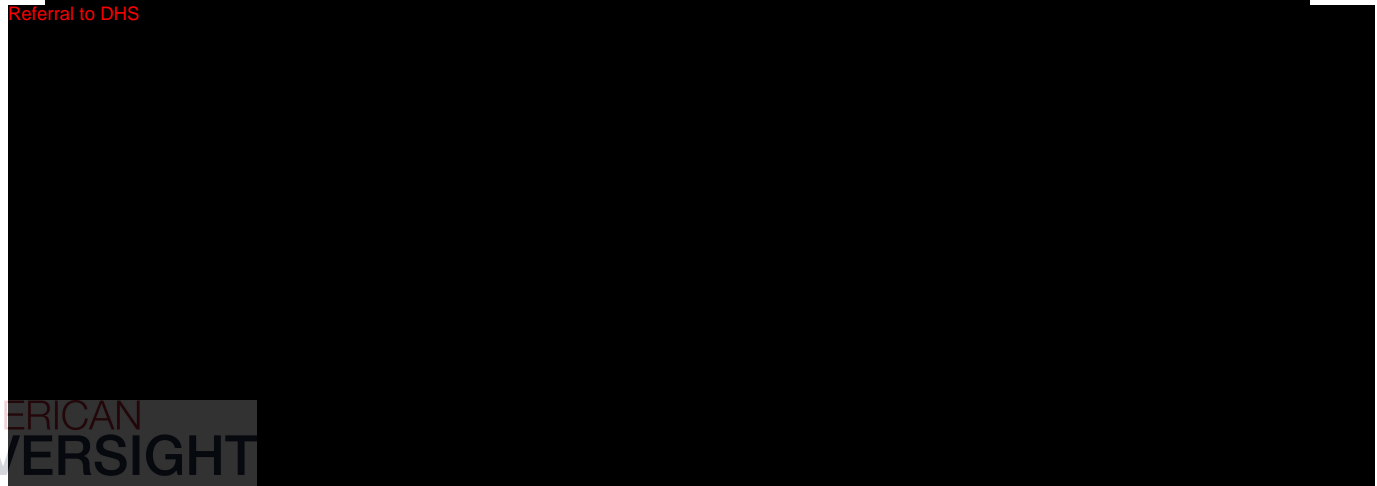
**From:** John F Kelly  
**Sent:** Thursday, December 29, 2016 4:15:11 PM  
**To:** Heller, Susan  
**Subject:** RE: Initial Questions: Nominee Financial Disclosure Report

Susan,

(b)(3), (6)



Referral to DHS



Referral to DHS



**From:** John F Kelly [(b) (6)]

**Sent:** Thursday, December 29, 2016 9:19 AM


**To:** Heller, Susan <[(b) (6)]>

**Subject:** RE: Initial Questions: Nominee Financial Disclosure Report

Got it. Thanks. Almost updated with the [(b)(3), (6)]

Kelly

Referral to DHS





Referral to DHS



**From:** John F Kelly  
**Sent:** Thursday, December 29, 2016 9:01:24 AM  
**To:** Heller, Susan  
**Subject:** RE: Initial Questions: Nominee Financial Disclosure Report

Susan,

(b)(3), (6)



Kelly

Referral to DHS



Referral to DHS



---

**From:** John F Kelly  
**Sent:** Thursday, December 29, 2016 8:08:56 AM  
**To:** Heller, Susan  
**Subject:** RE: Initial Questions: Nominee Financial Disclosure Report

Susan,  
Am in <sup>(b)</sup><sub>(6)</sub> as I update the form.

(b)(3), (6)



(b)(3), (6)



Kelly

Referral to DHS



**From:** John F Kelly (b) (6) ]

**Sent:** Tuesday, December 27, 2016 5:00 PM

**To:** Heller, Susan (b) (6)

**Subject:** RE: Nominee Financial Disclosure Report

Susan,

Thanks. I am on the road to (b) (6) tomorrow for less than a week. I'll have phone and e-mail so should not be a problem.

Thanks,

Kelly

Referral to DHS

**From:** [Heather A. Jones](#)  
**To:** [Stephanie Nonluecha](#)  
**Subject:** EA for preclearance.Kelly, John F (HAJ edits).docx  
**Date:** Tuesday, January 03, 2017 7:15:36 PM  
**Attachments:** [EA for preclearance.Kelly, John F \(HAJ edits\).docx](#)

---

2 page attachment withheld in full - (b) (3), (4), (5), (6)

Stephanie-

Walt can in while I was walking through the EA and report with Deb so I have redline his changes on the EA. Here are a couple of notes on the report:

(b)(3), (5), (6)



Thanks,  
Heather

**From:** [Stephanie Nonluecha](#)  
**To:** ["Heller, Susan"](#)  
**Subject:** Revised EA  
**Date:** Wednesday, January 04, 2017 2:16:13 PM  
**Attachments:** [EA for preclearance.Kelly John F \(HAJ edits\).revised.docx](#)

---

2 page attachment withheld in full - (b)  
(3), (4), (5), (6)

Please see attachment. Stephanie

**From:** Deborah J. Bortot [mailto:djbortot@oge.gov]

**Sent:** Wednesday, January 4, 2017 6:08 PM

**To:** Heller, Susan (b) (6)

**Cc:** Stephanie Nonluecha <snonlue@oge.gov>; Heather A. Jones <hajones@oge.gov>; David J. Apol <djapol@oge.gov>; Director of OGE <director@oge.gov>

**Subject:** RE: ethics agreement

Susan,

(b) (5)

(b) (5)



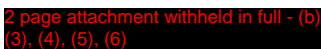
Thanks,  
Deb

Deborah J. Bortot  
Chief, Presidential Nominations Branch  
U.S. Office of Government Ethics  
1201 New York Ave., NW, Suite 500  
Washington, DC 20005-3917  
Telephone: (202) 482-9227  
Facsimile: (202) 482-9237


---

**From:** Walter M. Shaub  
**Sent:** Wednesday, January 04, 2017 5:52 PM  
**To:** (b)(6) - Susan Heller's email address  
**Cc:** Stephanie Nonluecha; Deborah J. Bortot; Heather A. Jones; David J. Apol  
**Subject:** ethics agreement

2 page attachment withheld in full - (b)  
(3), (4), (5), (6)



Susan,

We can preclear John Kelly (b) (5)  
 by using the attached ethics agreement.

(b)(3), (5), (6)



Walt

Walter M. Shaub, Jr.  
Director  
U.S. Office of Government Ethics  
1201 New York Avenue, NW, Suite 500  
Washington, DC 20005-3917



Telephone: 202.482.9292  
Email: [walter.shaub@oge.gov](mailto:walter.shaub@oge.gov)

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**From:** [Heather A. Jones](#)  
**To:** [Stephanie Nonluecha](#)  
**Subject:** FW: revised EA  
**Date:** Friday, January 06, 2017 10:27:42 AM  
**Attachments:** [Scanned Document.pdf](#)

Attachment released below

I don't know why Walt included Lorna

Referral to DHS

**From:** Walter M. Shaub [<mailto:wmshaub@oge.gov>]

**Sent:** Thursday, January 5, 2017 6:56 PM

**To:** Heller, Susan (b) (6)

**Cc:** Lorna A. Syme <[lasyme@oge.gov](mailto:lasyme@oge.gov)>; Deborah J. Bortot <[djbortot@oge.gov](mailto:djbortot@oge.gov)>; Heather A. Jones <[hajones@oge.gov](mailto:hajones@oge.gov)>

**Subject:** revised EA

Susan,

I was able to get closure on the outstanding issue (b) (5). Here's a revised ethics agreement. By way of explanation (b) (5)

[REDACTED]

[REDACTED]

[REDACTED]

Walt

Walter M. Shaub, Jr.  
Director  
U.S. Office of Government Ethics  
1201 New York Avenue, NW, Suite 500  
Washington, DC 20005-3917

Telephone: 202.482.9292  
Email: [walter.shaub@oge.gov](mailto:walter.shaub@oge.gov)

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**From:** [Stephanie Nonluecha](#)  
**To:** (b)(6) - Ann Donaldson's email address  
**Cc:** "[Heller, Susan](#)"  
**Subject:** FW: PRECLEARED: John Kelly  
**Date:** Friday, January 06, 2017 11:16:19 AM  
**Attachments:** [Kelly, John F.signed EA.pdf](#)

Attachment released below

Please see attachment.

Regards,

**Stephanie Nonluecha**

Program Analyst (Finance)  
U.S. Office of Government Ethics  
(202) 482-9243  
[snonlue@oge.gov](mailto:snonlue@oge.gov)

Visit OGE's website: [www.oge.gov](http://www.oge.gov)  
Follow OGE on Twitter: @OfficeGovEthics

---

**From:** Deborah J. Bortot  
**Sent:** Friday, January 06, 2017 11:09 AM  
**To:** 'Ann M Donaldson'  
**Cc:** Stephanie Nonluecha; David J. Apol; Heather A. Jones; Sandra S. Mabry; Keith Labedz; Teresa L. Williamson; Rodrick T. Johnson; Emory A. Rounds III; 'Heller, Susan'  
**Subject:** PRECLEARED: John Kelly

Annie, John Kelly is precleared.

Stephanie, please forward the ethics agreement to Annie.

Thanks!  
Deb

Deborah J. Bortot  
Chief, Presidential Nominations Branch  
U.S. Office of Government Ethics  
1201 New York Ave., NW, Suite 500  
Washington, DC 20005-3917  
Telephone: (202) 482-9227  
Facsimile: (202) 482-9237

**From:** [Deborah J. Bortot](#)  
**To:** [Stephanie Nonluecha](#); [Sandra S. Mabry](#)  
**Cc:** [Heather A. Jones](#)  
**Subject:** Paperwork on Kelly  
**Date:** Monday, January 09, 2017 8:58:09 AM  
**Importance:** High

---

Sandy and Stephanie,

Please expedite the final package on Kelly. His hearing is tomorrow and we need to get the paperwork up ASAP. Teresa is out, so you will have to handle her part.

Thanks,  
Deb

**From:** LNAPPS1.USOGE@oge.gov  
**To:** [Sandra S. Mabry](#)  
**Subject:** IMPORTANT - ACTION NEEDED - Nomination Package Forwarded to Sandy for Review - John F Kelly  
**Date:** Monday, January 09, 2017 2:14:54 PM

---

Nomination package for John F Kelly has been forwarded for review.

**ACTION:** Review nomination package and initial paper routing slip. Log completion of this step into FDTS by clicking the forward routing button to save and mark this step complete.

Drop the paper folder off in General Counsel's office.

The link below will take you to the FDTS record.

Nonresponsive network info

**From:** [Sandra S. Mabry](#)  
**To:** [Teresa L. Williamson](#)  
**Subject:** RE: IMPORTANT - ACTION NEEDED - Nomination Package Ready for Review - John F Kelly  
**Date:** Monday, January 09, 2017 2:58:04 PM

---

(b) (6)

OK, it's been signed; I saved PDF to N folder, date stamped letter and am now trying to scan letter

-----Original Message-----

**From:** Teresa L. Williamson  
**Sent:** Monday, January 09, 2017 2:35 PM  
**To:** Sandra S. Mabry  
**Subject:** Fw: IMPORTANT - ACTION NEEDED - Nomination Package Ready for Review - John F Kelly

Sent from my BlackBerry 10 smartphone on the Verizon Wireless 4G LTE network.

Original Message

**From:** LNAPPS1.USOGE@oge.gov  
**Sent:** Monday, January 9, 2017 2:06 PM  
**To:** Teresa L. Williamson  
**Subject:** IMPORTANT - ACTION NEEDED - Nomination Package Ready for Review - John F Kelly

Nomination package for John F Kelly has been forwarded for review.

**ACTION:** Review nomination package and initial paper routing slip. Print transmittal letter. Assemble package to be sent forward for certification. Log completion of this step into FDTS by clicking the forward routing button to save and mark this step complete.

Drop the paper folder off in Sandy's office.

The link below will take you to the FDTS record.

Nonresponsive network info

**From:** [Teresa L. Williamson](#)  
**To:** [Stephanie Nonluecha](#); ["Heller, Susan"](#)  
**Subject:** Public Financial Disclosure Report for John F. Kelly  
**Date:** Tuesday, January 10, 2017 12:41:04 PM  
**Attachments:** [Kelly, John F. finalEA.pdf](#)  
[Kelly, John F. final278.pdf](#)  
[Kelly, John F. finalsenateltr.pdf](#)

Final EA and final senate letter released below. 278 financial disclosure report withheld in full - (b)(3) - Available at <https://extapps2.oge.gov/201/Presiden.nsf/PAS%20Index?OpenView>

---

Good Afternoon,

I've attached the financial disclosure package for John F. Kelly. President-Elect Trump has announced his intention to nominate Mr. Kelly for the position of Secretary, Department of Homeland Security.

Thanks!

Sandra Mabry  
Presidential Nominations Branch  
U.S. Office of Government Ethics  
1201 New York Avenue, NW - Suite 500  
Washington, DC 20005  
202-482-9258



**From:** [Deborah J. Bortot](#)  
**To:** [Heller, Susan](#); [Stephanie Nonluecha](#)  
**Cc:** [Heather A. Jones](#); [David J. Apol](#)  
**Subject:** Re: General Kelly  
**Date:** Monday, January 16, 2017 8:38:08 PM

---

Thank you

Sent from my BlackBerry 10 smartphone on the Verizon Wireless 4G LTE network.

Referral to DHS

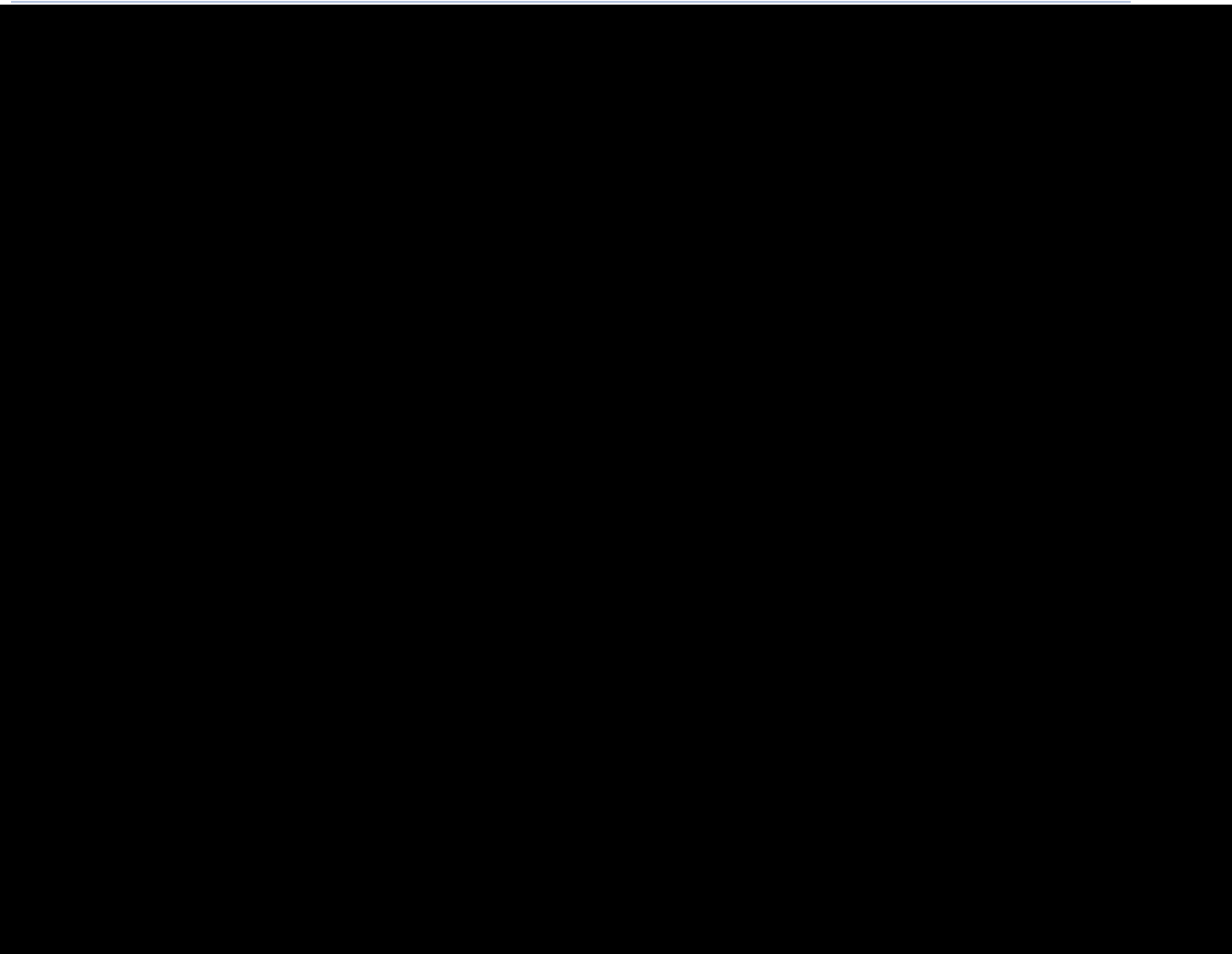


**From:** Deborah J. Bortot  
**Sent:** Saturday, January 14, 2017 8:03:03 PM  
**To:** Heller, Susan; Stephanie Nonluecha  
**Cc:** Heather A. Jones; David J. Apol  
**Subject:** RE: General Kelly

Susan,

I'll call you at 10 am Sunday.

Thanks,  
Deb



**From:** Deborah J. Bortot  
**Sent:** Saturday, January 14, 2017 7:12:59 PM  
**To:** Heller, Susan; Stephanie Nonluecha  
**Cc:** Heather A. Jones; David J. Apol  
**Subject:** RE: General Kelly

2 page attachment withheld in full - (b)(5)

Susan,

The *Integrity* report cannot be amended. He will have to amend the report through a letter addressed to the DAEO. The DAEO will then have to review the amendment and provide an opinion letter to OGE enclosing the filer's amendment letter. I've attached a draft letter for the filer and a draft letter for the DAEO. Please insert the relevant information and email me drafts of each before having the two letters signed.

Let me know when you would like to discuss the positions. I'll be available to talk tonight or tomorrow. I have a conference call tomorrow at either 10:30 am or at noon, but am available before or after.

Thanks,  
Deb

Referral to DHS

**From:** [Stephanie Nonluecha](#)  
**To:** [Sandra S. Mabry](#)  
**Subject:** Kelly supplement letter  
**Date:** Tuesday, January 17, 2017 2:26:21 PM  
**Attachments:** [DHS Secretary Nom Kelly JF Supplement for 278 \(Pts 1 and 2\) and EA.revised.docx](#)  
[Nom General Kelly amendment transmittal letter to OGE 2.docx](#)  
**Importance:** High

---

3 page attachment withheld in full -  
(b)(3), (4), (5), (6)

Sandy,

Please see my revisions to the letter and let me know your comments before I send to Susan. I'm also attaching the draft agency transmittal with me edits for your review.

Thanks,  
Stephanie

**From:** [Sandra S. Mabry](#)  
**To:** [Stephanie Nonluecha](#)  
**Subject:** RE: General John Kelly  
**Date:** Tuesday, January 17, 2017 4:45:54 PM  
**Attachments:** [Kelly alternate sm.docx](#)

---

2 page attachment withheld in full -  
(b)(3), (4), (5), (6)

---

**From:** Stephanie Nonluecha  
**Sent:** Tuesday, January 17, 2017 4:23 PM  
**To:** Sandra S. Mabry  
**Subject:** FW: General John Kelly

Referral to DHS



**From:** Stephanie Nonluecha [<mailto:snonlue@oge.gov>]  
**Sent:** Monday, January 9, 2017 10:14 AM  
**To:** Heller, Susan <(b) (6)>  
**Cc:** Deborah J. Bortot <[djbortot@oge.gov](mailto:djbortot@oge.gov)>; Heather A. Jones <[hajones@oge.gov](mailto:hajones@oge.gov)>  
**Subject:** FW: General John Kelly  
**Importance:** High

Please have him sign his 278 and transmit the agency transmittal letter to OGE. We already signed the EA.

Thanks,

**Stephanie Nonluecha**

Program Analyst (Finance)  
U.S. Office of Government Ethics  
(202) 482-9243  
[snonlue@oge.gov](mailto:snonlue@oge.gov)

Visit OGE's website: [www.oge.gov](http://www.oge.gov)  
Follow OGE on Twitter: @OfficeGovEthics

---

**From:** Deborah J. Bortot  
**Sent:** Monday, January 09, 2017 8:46 AM  
**To:** Stephanie Nonluecha  
**Cc:** Sandra S. Mabry; Heather A. Jones; Teresa L. Williamson  
**Subject:** FW: General John Kelly

**From:** Ann M Donaldson (b) (6)  
**Sent:** Monday, January 09, 2017 8:38 AM  
**To:** Deborah J. Bortot; Heather A. Jones  
**Subject:** General John Kelly

On behalf of the President-Elect, this email serves as confirmation that the President-Elect intends to nominate General John Kelly to be Secretary of Homeland Security. Please transmit his pre-cleared 278 report to the appropriate Senate committee.

Thank you,  
Annie

Ann M. Donaldson  
Associate  
[JONES DAY® - One Firm Worldwide<sup>SM</sup>](#)  
51 Louisiana Avenue, NW  
Washington, DC 20001  
Office +1 (b) (6)

**From:** [Stephanie Nonluecha](#)  
**To:** ["Heller, Susan"](#)  
**Subject:** RE: FD and EA Supplement Draft Letter, General Kelly  
**Date:** Wednesday, January 18, 2017 2:38:01 PM  
**Attachments:** [Kelly 278 and EA amendments v.3 - OGE edits 1-18-17.docx](#)

---

3 page attachment withheld in full - (b) (3), (4), (5), (6)

Susan,

I'm attaching General Kelly's supplement letter with OGE's final tracked changes. OGE has no recommended changes to the transmittal letter v.3. Please call me to discuss these documents and the draft letter from (b) (6)

Thanks,  
Stephanie

Referral to DHS



**From:** Stephanie Nonluecha [<mailto:snonlue@oge.gov>]

**Sent:** Tuesday, January 17, 2017 4:59 PM

**To:** Heller, Susan (b) (6)

**Subject:** RE: FD and EA Supplement Draft Letter, General Kelly

**Importance:** High

6 page attachment withheld in full - (b) (3), (4), (5), (6)

Susan,

I'm attaching for your review the revised drafts of General Kelly's supplement letter and the OGE transmittal letter. I'm also attaching for your information only the first draft revision which has my tracked changes some of which was incorporated into the alternate version we're recommending for use. Please call me to discuss.

Thanks,  
Stephanie

Referral to DHS



Referral to DHS

Rest of chain mentioned above

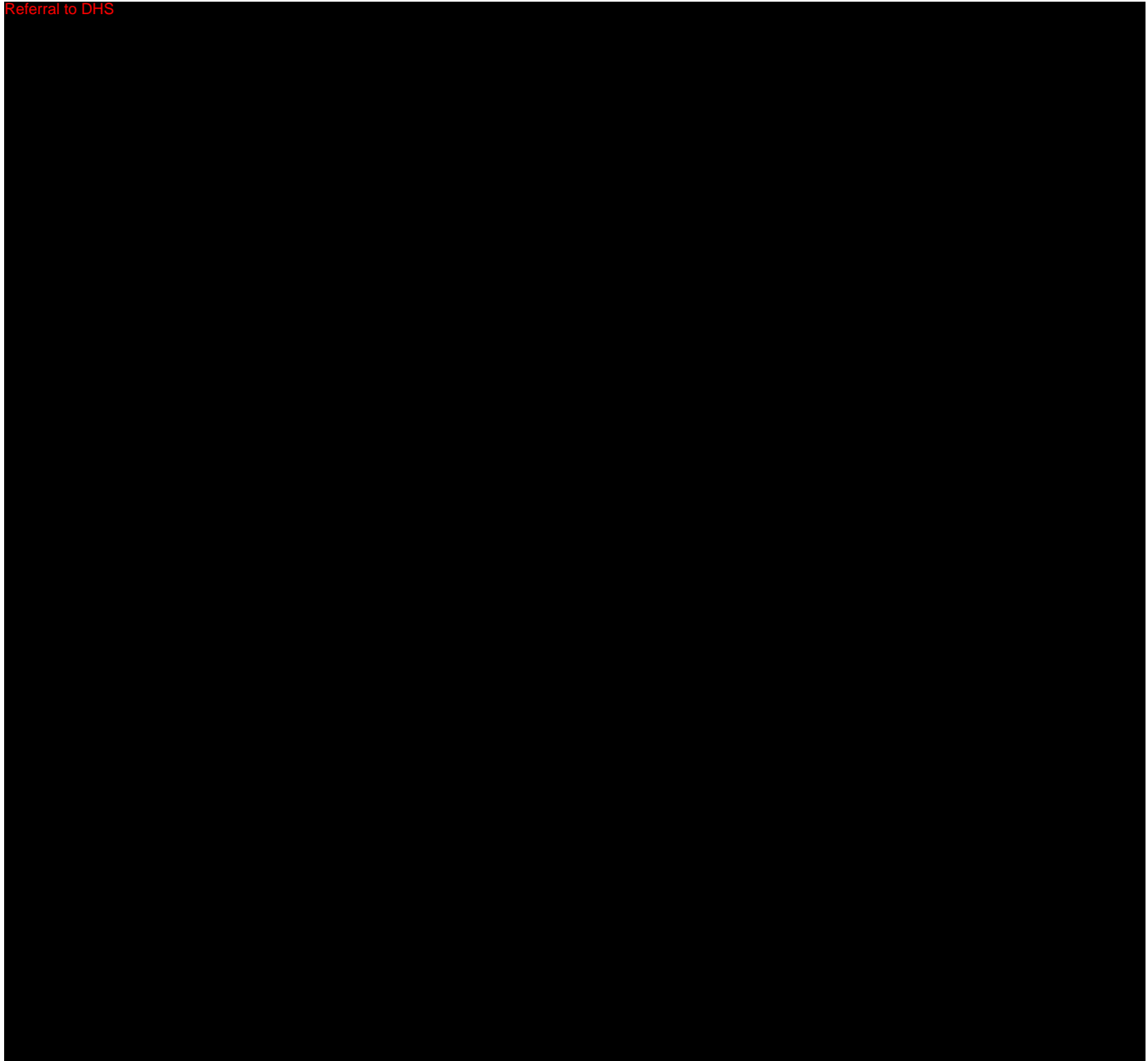
**From:** [Stephanie Nonluecha](#)  
**To:** ["Heller, Susan"](#); [Deborah J. Bortot](#)  
**Cc:** [Heather A. Jones](#); [David J. Apol](#); [Maier, Joseph](#)  
**Subject:** RE: General Kelly, Amendment Letter and DAEO Transmittal Letter  
**Date:** Thursday, January 19, 2017 9:19:09 AM

---

Thanks Susan. I'll let you know when it has been sent to the committee.

Stephanie

Referral to DHS



**From:** [Emory A. Rounds III](#)  
**To:** [Stephanie Nonluecha](#)  
**Subject:** RE: UPDATE?  
**Date:** Thursday, January 19, 2017 9:23:31 AM

---

**THANKS!!!**

---

**From:** Stephanie Nonluecha  
**Sent:** Thursday, January 19, 2017 9:23 AM  
**To:** Emory A. Rounds III  
**Subject:** RE: UPDATE?

I just received signed letters from DHS and am getting the paperwork ready for Walt's signature— Jack will be handling the file for me since I'm teleworking today. We're moving as fast as we can, but it should be ready to be transmitted to the committee very soon.

---

**From:** Emory A. Rounds III  
**Sent:** Thursday, January 19, 2017 9:18 AM  
**To:** Stephanie Nonluecha  
**Subject:** UPDATE?

Good morning!

Any update on General Kelly?

Thanks!

Emory

**From:** [Jack MacDonald](#)  
**To:** [Stephanie Nonluecha](#)  
**Cc:** [Sandra S. Mabry](#)  
**Subject:** RE: Kelly documents for printing  
**Date:** Thursday, January 19, 2017 9:36:17 AM

---

Got it. Will do!

---

**From:** Stephanie Nonluecha  
**Sent:** Thursday, January 19, 2017 9:35 AM  
**To:** Jack MacDonald  
**Cc:** Sandra S. Mabry  
**Subject:** Kelly documents for printing  
**Importance:** High

1 page attachment referred to DHS; remaining  
of attachments are released below

Jack,

Please print the two documents attached for General Kelly's amendment and put with his file folder behind the routingslip and OGE transmittal letter that's already attached to the folder. I've reviewed them and everything is as it should be. Please bring the folder to Deb.

Thanks,  
Stephanie

**From:** [Emory A. Rounds III](#)  
**To:** [Deborah J. Bortot](#)  
**Cc:** [Heather A. Jones](#)  
**Subject:** Fw:  
**Date:** Thursday, January 19, 2017 12:37:36 PM

---

Um, I do not recall typing the below email that way - spell fix must be on. Wow!

Sent from my BlackBerry 10 smartphone on the Verizon Wireless 4G LTE network.

---

**From:** Emory A. Rounds III <earounds@oge.gov>  
**Sent:** Thursday, January 19, 2017 12:04 PM  
**To:** Deborah J. Bortot  
**Cc:** Heather A. Jones  
**Subject:**

---

Please let me know what happens either Kelly so I can Leeper them posted. Tjankd!

Sent from my BlackBerry 10 smartphone on the Verizon Wireless 4G LTE network.

**From:** [Deborah J. Bortot](#)  
**To:** [Stephanie Nonluecha](#)  
**Subject:** RE: For your review  
**Date:** Thursday, January 19, 2017 12:57:43 PM

---

(b) (5)



---

**From:** Stephanie Nonluecha  
**Sent:** Thursday, January 19, 2017 12:19 PM  
**To:** Deborah J. Bortot  
**Subject:** For your review  
**Importance:** High

Deb, here's my draft e-mail to Susan re: the supplement letter.

(b) (5)



**From:** [Teresa L. Williamson](#)  
**To:** [Jack MacDonald](#)  
**Cc:** [Stephanie Nonluecha](#); [Sandra S. Mabry](#); [Heather A. Jones](#); [Deborah J. Bortot](#)  
**Subject:** RE: OGE Senate Amendment Ltr  
**Date:** Thursday, January 19, 2017 1:11:15 PM

---

The digital amendment letter for Walt to sign has been saved to Kelly's n drive folder.

---

**From:** Jack MacDonald  
**Sent:** Thursday, January 19, 2017 12:49 PM  
**To:** Teresa L. Williamson  
**Subject:** OGE Senate Amendment Ltr

Hi Teresa,

The name of the letter for Walt's digital signature is "Kelly, John F. amendmentltr2.docx." It's located in Kelly's nominee folder and is dated today, 1/19/2017.

Thanks!

Jack

**From:** [Stephanie Nonluecha](#)  
**To:** [Deborah J. Bortot](#)  
**Subject:** FW: OGE Request for Acknowledgement - Letter Amending Financial Disclosure Report and Ethics Agreement  
**Date:** Thursday, January 19, 2017 3:05:25 PM

---

Referral to DHS



**From:** John Kelly (b) (6)  
**Sent:** Thursday, January 19, 2017 3:00 PM  
**To:** James Carroll (b) (6); Kirstjen Nielsen <(b) (6)>; Heller, Susan (b) (6)  
**Subject:** Re: OGE Request for Acknowledgement - Letter Amending Financial Disclosure Report and Ethics Agreement



Hello

This is to confirm that I understand that my letter supplementing my financial disclosure report and ethics agreement will be attached to both my ethics agreement and financial disclosure report. In addition to being posted with my ethics agreement, I understand that this letter will be posted with my public financial disclosure report.

On Thu, Jan 19, 2017 at 2:54 PM Kirstjen Nielsen <(b) (6)> wrote:

Referral to DHS

Referral to DHS

**From:** [Emory A. Rounds III](#)  
**To:** [Heather A. Jones](#)  
**Subject:** Re: Anything on the general?  
**Date:** Thursday, January 19, 2017 3:14:27 PM

---

Thanks!

Sent from my BlackBerry 10 smartphone on the Verizon Wireless 4G LTE network.

---

**From:** Heather A. Jones  
**Sent:** Thursday, January 19, 2017 3:08 PM  
**To:** Emory A. Rounds III  
**Subject:** Re: Anything on the general?

---

We are waiting for something from Gen Kelly

Sent from my BlackBerry 10 smartphone on the Verizon Wireless 4G LTE network.

---

**From:** Emory A. Rounds III  
**Sent:** Thursday, January 19, 2017 1:37 PM  
**To:** Heather A. Jones  
**Subject:** Anything on the general?

---

They will be asking . . .

Sent from my BlackBerry 10 smartphone on the Verizon Wireless 4G LTE network.

**From:** [Teresa L. Williamson](#)  
**To:** [Stephanie Nonluecha](#); ["Heller, Susan"](#)  
**Subject:** Amendment to Public Financial Disclosure Report of John F. Kelly  
**Date:** Thursday, January 26, 2017 3:15:18 PM  
**Attachments:** [Nom General Kelly DAEO Transmittal letter Amended 278 and EA.pdf](#)  
[Nom General Kelly Amendment Letter OGE 278e and EA .pdf](#)  
[Kelly, John F. amendmentltr.pdf](#)

1 page attachment referred to DHS;  
remaining of attachments are released  
below

---

Good Afternoon,

The attached is an amendment to the final report that was submitted to the committee by letter dated January 9, 2017.

Thanks!

Teresa Williamson  
US Office of Government Ethics  
1201 New York Avenue, NW - Suite 500  
Washington, DC 20005  
202-482-9283

UNITED STATES OFFICE OF  
GOVERNMENT ETHICS



January 19, 2017

The Honorable Ron Johnson  
Chairman  
Committee on Homeland Security  
and Governmental Affairs  
United States Senate  
Washington, DC 20510

Dear Mr. Chairman:

By letter dated January 9, 2017, the Office of Government Ethics (OGE) transmitted to the Committee the financial disclosure report of John F. Kelly in connection with President-Elect Trump's announced intention to nominate Mr. Kelly for the position of Secretary, Department of Homeland Security. Enclosed are a letter from the Department of Homeland Security and a letter from Mr. Kelly supplementing Mr. Kelly's financial disclosure report and ethics agreement.

We have reviewed this additional submission and have also obtained advice from the Department of Homeland Security concerning any possible conflict in light of its functions and Mr. Kelly's proposed duties. Based on the information provided, OGE continues to believe that Mr. Kelly is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

Walter M. Shaub, Jr.  
Director

Enclosures



January 18, 2017

Joseph B. Maher  
Designated Agency Ethics Official  
Department of Homeland Security  
Washington, D.C. 20528-0485

Dear Mr. Maher:

The purpose of this letter is to supplement my public financial disclosure report signed on December 24, 2016, and supplement my ethics agreement signed on January 5, 2017. With regard to my financial disclosure report, I inadvertently omitted information concerning an outside position and incorrectly reported another position.

Please be advised that the following information corrects and amends my financial disclosure report as described below.

**Part 1 – Filer's Positions Held Outside U.S. Government**

I am amending the title of the position that I hold with DC Capital Partners to reflect that I am a member of the Board of Advisors to that corporation and to correct the date of my service. I did not receive compensation for my service in this position. I am adding my position as a member of the Board of Directors of Michael Baker International LLC. I was compensated for my services by the company for my position as a Director. I do not have an equity interest in either DC Capital Partners or Michael Baker International LLC.

Part 1 is amended to change my position title with DC Capital Partners and to add my position with Michael Baker International, LLC as follows:

Organization Name: DC Capital Partners  
City, State: Alexandria, VA  
Organization Type: Corporation  
Position Held: Member, Board of Advisors  
From: February 2016  
To: Present

Organization Name: Michael Baker International, LLC  
City, State: Pittsburgh, PA  
Organization Type: Corporation  
Position Held: Member, Board of Directors  
From: June 2016  
To: Present

Part 2 – Filer's Employment Assets and Income

I am deleting my entry on Part 2 for DC Capital Partners because I did not receive compensation from that company. Instead, I am adding Michael Baker International LLC, a portfolio investment of DC Capital Partners, to this Part because my compensation was for my position as Director of this company.

Part 2 is amended to remove DC Capital Partners and add:

Description:	Michael Baker International
EIF:	N/A
Value:	N/A
Income Type:	Director's Fees
Income Amount:	\$37,500

Part 4 – Filer's Sources of Compensation Exceeding \$5,000 in a Year

I am amending Part 4 to report my compensation over \$5,000 from Michael Baker International, LLC.

Part 4 is amended to remove DC Capital Partners and add:

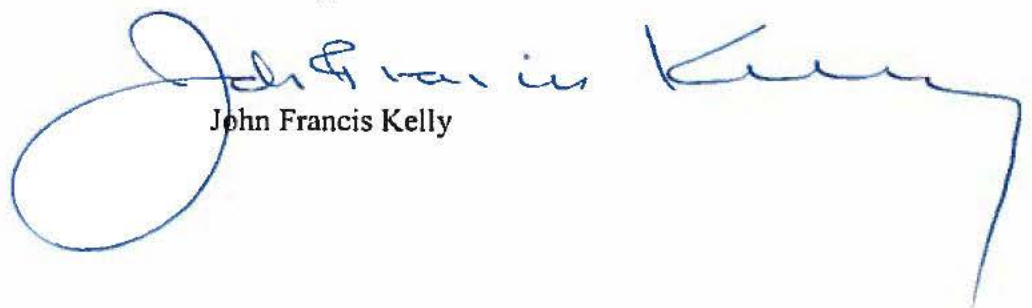
Source Name:	Michael Baker International
City, State:	Pittsburg, PA
Brief Description of Duties:	Board Member

In accordance with the foregoing amendments to my financial disclosure report, I am supplementing my ethics agreement dated January 5, 2017, with the following:

Upon confirmation, I will resign from my position with Michael Baker International, LLC. For a period of one year after my resignation, I will not participate personally and substantially in any particular matter involving specific parties in which I know Michael Baker International, LLC, is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

I have been advised that this supplement to my ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

Sincerely,



John Francis Kelly



UNITED STATES OFFICE OF  
GOVERNMENT ETHICS



JAN 09 2017

The Honorable Ron Johnson  
Chairman  
Committee on Homeland Security  
and Governmental Affairs  
United States Senate  
Washington, DC 20510

Dear Mr. Chairman:

In accordance with the Ethics in Government Act of 1978, I enclose a copy of the financial disclosure report filed by John F. Kelly. President-Elect Trump has announced his intention to nominate Mr. Kelly for the position of Secretary, Department of Homeland Security.

We have reviewed the report and have obtained advice from the agency concerning any possible conflict in light of its functions and the nominee's proposed duties. Also enclosed is an ethics agreement outlining the actions that the nominee will undertake to avoid conflicts of interest. Unless a date for compliance is indicated in the ethics agreement, the nominee must fully comply within three months of confirmation with any action specified in the ethics agreement.

Based thereon, we believe that this nominee is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

Walter M. Shaub, Jr.  
Director

Enclosures



January 5, 2017

Joseph B. Maher  
Designated Agency Ethics Official  
Department of Homeland Security  
Washington, D.C. 20528-0485

Dear Mr. Maher:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Secretary of the Department of Homeland Security.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

Upon confirmation, I will resign from my positions with the following entities: DynCorp; DC Capital Partners; Flatter & Associates; and Beacon Global Strategies. For a period of one year after my resignation from each of these entities, I will not participate personally and substantially in any particular matter involving specific parties in which I know that entity is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

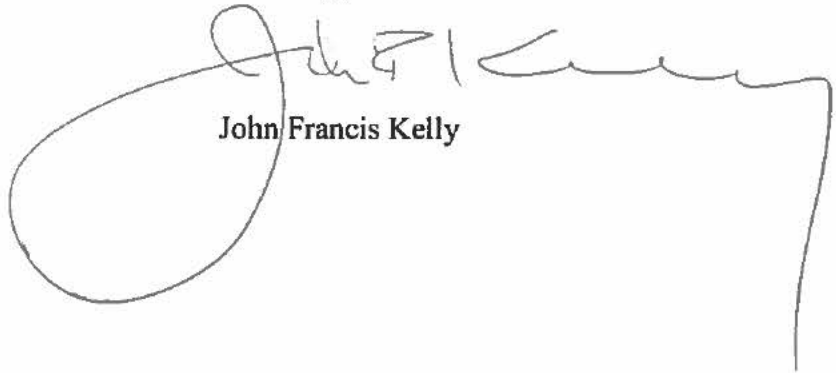
I am the sole proprietor of my consulting business, Oak Square Perspectives, LLC, which is dormant and has never had any clients. During my appointment to the position of Secretary of Homeland Security, Oak Square Perspectives, LLC, will remain dormant and will not advertise. I will not perform any services for the business, except that I will comply with any requirements involving legal filings, taxes and fees that are necessary to maintain the business while it is in an inactive status. As Secretary, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of Oak Square Perspectives, LLC.

I am owed a payment from the Australian government for a speaking engagement that I have now completed. I received an emoluments clause authorization from the Department of Defense, pursuant to 37 U.S.C. § 908, prior to engaging in this activity. Until I have received full

payment, I will not participate personally and substantially in any particular matter involving specific parties in which Australia, is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

I have been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

Sincerely,

A handwritten signature in dark ink, appearing to read "John F. Kelly", with a large, loopy initial "J" and a long horizontal stroke extending to the right.

John Francis Kelly

**From:** [Sandra S. Mabry](#)  
**To:** [Emory A. Rounds III](#)  
**Subject:** FW: PRIORITY REPORT  
**Date:** Tuesday, December 13, 2016 12:35:29 PM

---

Referral to DOT



Referral to DOT



**From:** Sandra S. Mabry [<mailto:ssmabry@oge.gov>]  
**Sent:** Saturday, December 10, 2016 5:27 PM  
**To:** Kaleta, Judy (OST)  
**Cc:** Herr, Ellen (OST); Carlson, Terence (OST)  
**Subject:** RE: PRIORITY REPORT

Judy. Thank you! Look forward to working with Ellen and you, also. Sandy

Referral to DOT



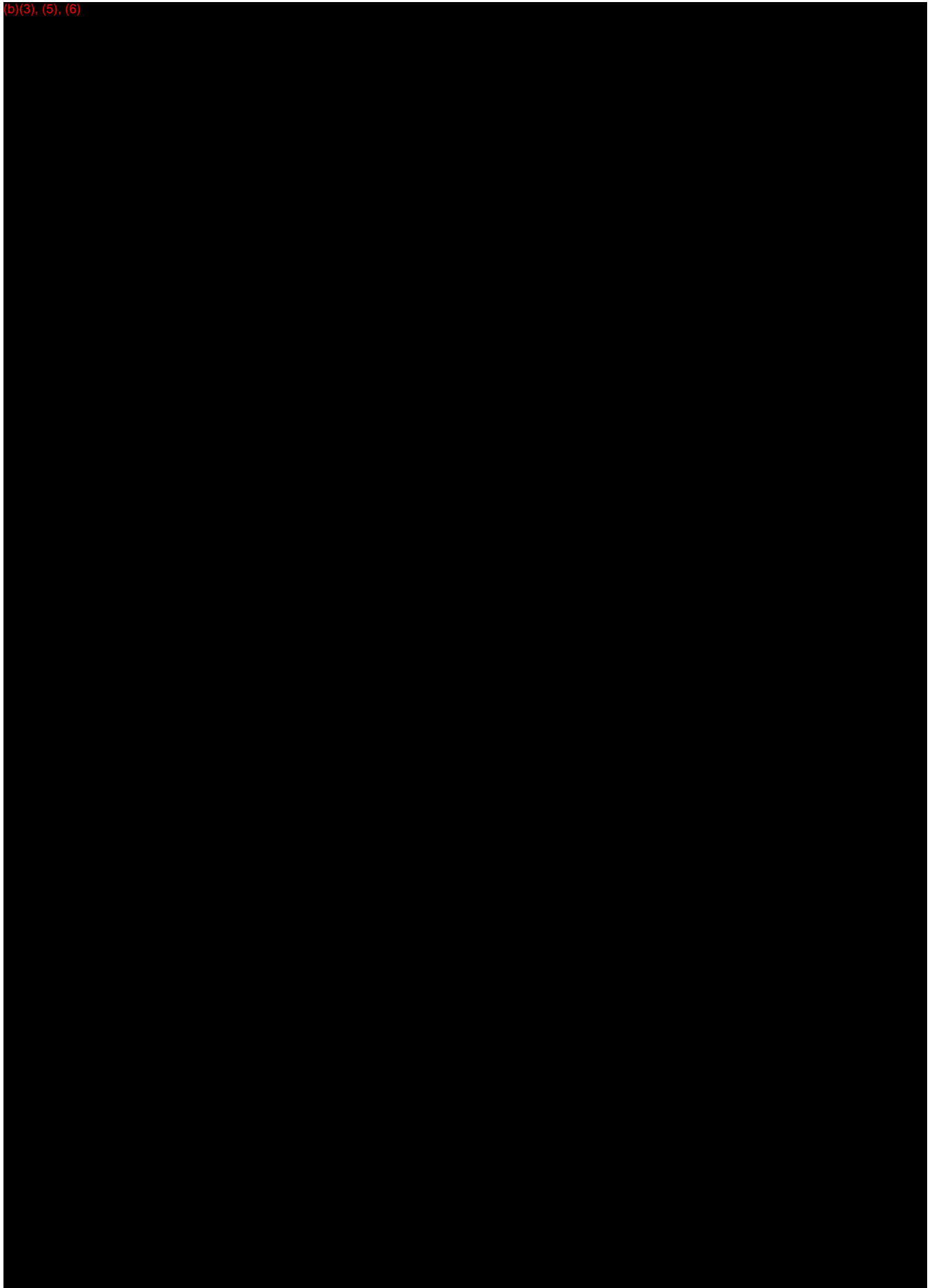
**From:** Sandra S. Mabry <[ssmabry@oge.gov](mailto:ssmabry@oge.gov)>  
**Sent:** Friday, December 9, 2016 7:25:47 PM  
**To:** Kaleta, Judy (OST)  
**Subject:** RE: PRIORITY REPORT

Judy, below are my questions. This is a first-cut and I may have additional questions after I look up the holdings. I included the reporting periods because there may have been some confusion about them. Please don't forward the questions without editing. I indicated to you that we need to discuss how the various (b)(3), (6) entries should be organized and reported. Please call me if you have questions or want to discuss over the weekend. I will not be able to talk tomorrow until later in the afternoon. My cell phone is (b) (6) Also, I have a computer at home for teleworking and will try to get into it tomorrow.

Also, please ignore typos. Thanks, Sandy

**Part 1 – Reporting period 1/1/2014—12/6/2016**

(b)(3), (5), (6)



(b)(3), (5), (6)

**From:** Sandra S. Mabry  
**Sent:** Friday, December 09, 2016 4:01 PM  
**To:** (b)(6) - my email email address  
**Subject:** PRIORITY REPORT

Judy,

I'll send you my first cut of questions before I leave today. Filer's contact information (from Integrity) is below. Deb spoke to Larry Steinberg earlier this week. His contact information is also below.

I have an office computer for teleworking and will be checking my office email over the weekend. However, I (b)(6) (b)(6) If you send an email, please call me on my cell phone to let me know. Also, if you want to discuss the report, please call me. My cell phone number is (b)(6) (b)(6) I look forward to working with you. Sandy 202-482-9258

**Filer's Contact information:**

**Filer:** EMAIL (b)(6) - Elaine Chao's email address

**SECONDARY EMAIL:** (b)(6) - Wang's email address

**Larry J. Steinberg, CPA, CGMA** | Senior Manager

**Blue & Co., LLC** | phone/fax +1 (b)(6) (b)(6) | mobile + (b)(6) (b)(6)  
12800 N. Meridian St., Ste 400 | Carmel, IN 46032

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**From:** [Sandra S. Mabry](#)  
**To:** ["Herr, Ellen \(OST\)"](#)  
**Subject:** RE: left message for Mr. Steinberg  
**Date:** Tuesday, December 13, 2016 1:40:08 PM

---

Ellen, thank you. I'll try to have my additional questions to you before I leave today. Sandy

Referral to DOT



Referral to DOT

**From:** Coleman, Russell M. (b) (6)  
**Sent:** Tuesday, December 13, 2016 3:09 PM  
**To:** Herr, Ellen (OST)  
**Subject:** Your messages

Dear Ms. Herr:

I sincerely apologize that we have not yet been able to talk. I hope to be free of meetings shortly but in the interim, might you send me the proposed questions so that I can gauge Secretary Chao's preferences for how best to proceed. Will call you shortly.

Regards,  
Russell



**From:** [Sandra S. Mabry](#)  
**To:** [Deborah J. Bortot](#)  
**Subject:** RE: Elaine Chao OGE Filing  
**Date:** Tuesday, December 13, 2016 4:06:20 PM

---

Called her. Will fill you in when you have time. Sandy

---

**From:** Deborah J. Bortot  
**Sent:** Tuesday, December 13, 2016 3:26 PM  
**To:** Sandra S. Mabry  
**Subject:** FW: Elaine Chao OGE Filing

I just missed a call from Bridgette Mugge. She didn't leave a message. She is working with Larry Steinberg

---

**From:** Larry Steinberg (b) (6)  
**Sent:** Friday, December 02, 2016 12:44 PM  
**To:** Deborah J. Bortot  
**Cc:** Bridgette Mugge  
**Subject:** Elaine Chao OGE Filing

Deborah,

Thanks for your help this morning. My contact information is below, and I will be working in my office with Bridgette Mugge on Elaine's filing. Bridgette's telephone is (b) (6) and her e-mail is (b) (6). I have given your contact info to her, too.

I spoke with Elaine this morning. She doesn't arrive back in DC until 4:00 Monday afternoon, and doesn't want to provide any information until she has a chance to review. Thus I would not expect a draft on Monday; Tuesday is more likely. And, as we discussed, there will be a lot of open items in the initial draft. At least you can get started, and we will be working with Elaine on gathering what we know to be missing.

Larry

**Larry J. Steinberg, CPA, CGMA** | Senior Manager  
**Blue & Co., LLC** | phone/fax +(b) (6) | mobile +(b) (6)  
12800 N. Meridian St., Ste 400 | Carmel, IN 46032

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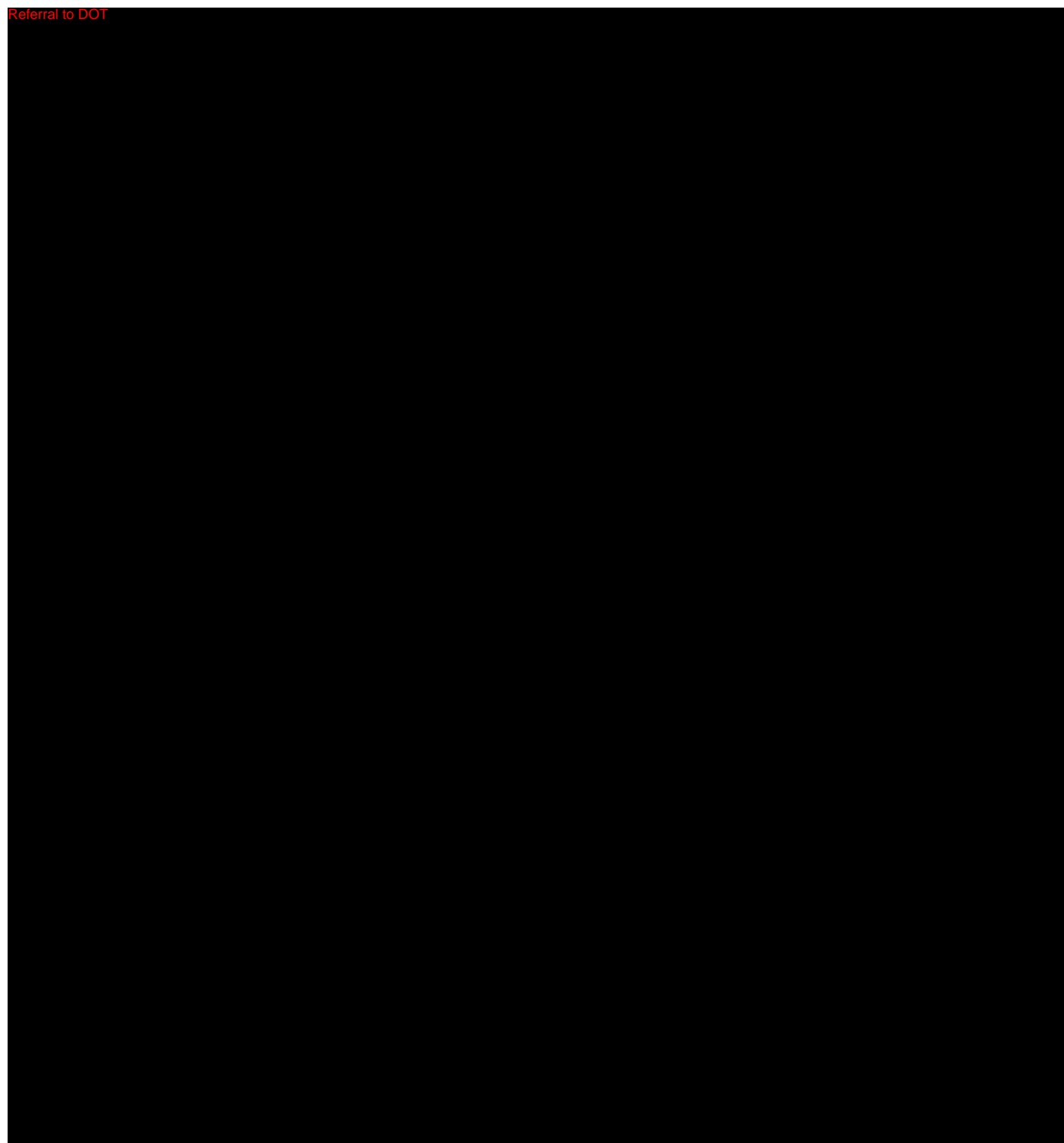
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**From:** Bridgette Mugge (b) (6)  
**Sent:** Monday, December 19, 2016 2:09 PM  
**To:** Herr, Ellen (OST); ssmabry@oge.gov  
**Cc:** Larry Steinberg  
**Subject:** Elaine Chao - OGE Report

Good Afternoon,

We are ready for you to look at Elaine Chao's OGE report again. Please let us know if there are any further corrections you would like us to make or if you have any questions.

Thank you,

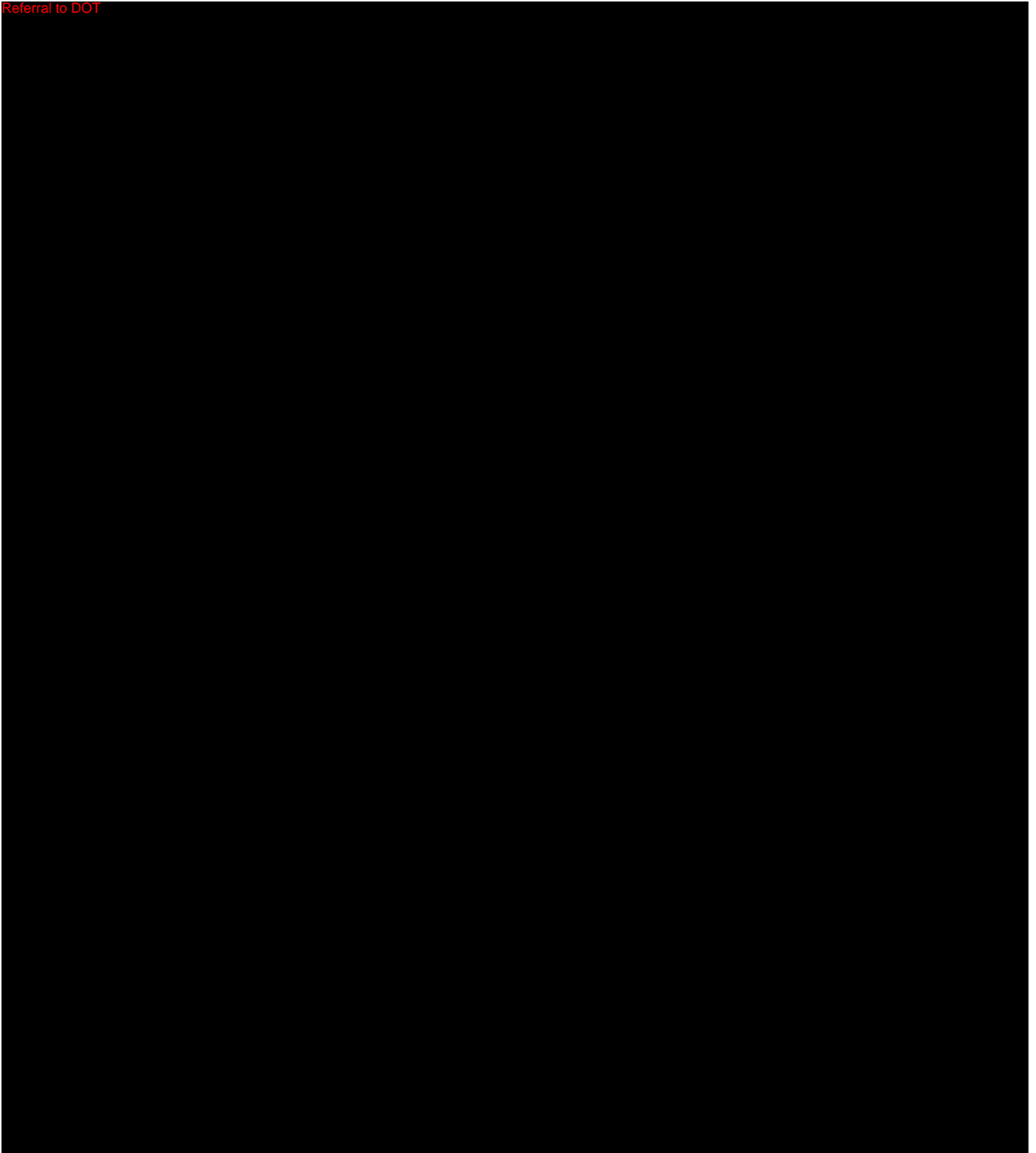
**Bridgette Mugge** | Senior Accounting Specialist  
**Blue & Co., LLC** | phone/fax (b) (6)  
12800 N. Meridian, Suite 400 | Carmel, IN 46032

**From:** [Sandra S. Mabry](#)  
**To:** ["Herr, Ellen \(OST\)"](#)  
**Subject:** RE: Elaine Chao - OGE Report  
**Date:** Tuesday, December 20, 2016 11:50:11 AM

---

Ellen, thank you. I'm going to run some of my questions by Heather. Then I'll get back to you.  
Sandy

Referral to DOT



Referral to DOT



---

**From:** Sandra S. Mabry [<mailto:ssmabry@oge.gov>]

**Sent:** Monday, December 19, 2016 5:35 PM

**To:** Herr, Ellen (OST)

**Subject:** RE: Elaine Chao - OGE Report

Ellen, do you have a back-up during the time you're on leave? I'm here this week, but will be out next week. Heather Jones is my back-up and will be available to answer questions and keep the report and ethics agreement moving. Heather's email is [hajones@oge.gov](mailto:hajones@oge.gov) and phone is 202-482-9316. Sandy

---

Referral to DOT



---

**From:** Larry Steinberg (b) (6)  
**Sent:** Monday, December 19, 2016 2:28 PM  
**To:** Sandra S. Mabry; Herr, Ellen (OST)  
**Cc:** Bridgette Mugge  
**Subject:** Elaine Chao - OGE Report

Sandy and Ellen,

I thought we should let you know what our holiday schedules are, since you will likely have additional questions for us.

Bridgett will be in the office tomorrow (Tuesday), but out until the following Tuesday. She will also be in the office next week on Wednesday and Thursday.

I will be in the office this week through Thursday...we are closed Friday. Next week I will be in on Monday, but heading to (b) (6), and not back in the office until January 9. However, I'm told that my mobile phone (b) (6), so feel free to contact me on that number (see below) if you need me. (If I don't answer, (b) (6))

Thanks for your help in getting this report to this point!

Larry

**Larry J. Steinberg, CPA, CGMA** | Senior Manager

**Blue & Co., LLC** | phone/fax (b) (6) | mobile +1 (b) (6)

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Referral to DOT



Rest of chain mentioned above



**From:** [Sandra S. Mabry](#)  
**To:** ["Herr, Ellen \(OST\)"](#)  
**Subject:** RE: Draft EA - DOT S1  
**Date:** Wednesday, December 21, 2016 1:54:22 PM

---

Good, thank you

Referral to DOT



---

**From:** Sandra S. Mabry [<mailto:ssmabry@oge.gov>]  
**Sent:** Wednesday, December 21, 2016 12:39 PM  
**To:** Herr, Ellen (OST)  
**Subject:** RE: Draft EA - DOT S1

Ellen, just left a message for you--need to talk about EA. If I don't hear back from you in about 5 mins, will assume you're at lunch, and I'll run out to get my lunch. Thanks, Sandy

Referral to DOT



---

**From:** Sandra S. Mabry [<mailto:ssmabry@oge.gov>]  
**Sent:** Tuesday, December 20, 2016 3:41 PM  
**To:** Herr, Ellen (OST)  
**Subject:** RE: Draft EA - DOT S1

Ellen, I just got back from an outside meeting. Need to meet with someone here, then will call to discuss report. Hope this works for you. Thanks, Sandy

Referral to DOT




Referral to DOT



**From:** Sandra S. Mabry [<mailto:ssmabry@oge.gov>]  
**Sent:** Monday, December 19, 2016 7:13 PM  
**To:** Herr, Ellen (OST)  
**Subject:** RE: Draft EA - DOT S1

Thanks, Ellen.

I was side-tracked today on a couple of things and did not finish my review. I'll need some time in the morning to finish the report. We may need more info on the (b)(3), (6) .

Referral to DOT



**From:** [Sandra S. Mabry](#)  
**To:** ["Herr, Ellen \(OST\)"](#)  
**Subject:** RE: Draft EA - DOT S1  
**Date:** Wednesday, December 21, 2016 3:25:52 PM

---

Ellen, I see you made some changes to report. I also made some changes (see below) and I have questions, also below. I think the report is in pretty good shape, now we need to discuss the EA.

**Changes:**

(b)(3), (5), (6)



Thanks, Sandy 202-482-9258

in Integrityto

Rest of chain mentioned above



Referral to DOT

---

**From:** Larry Steinberg  
**Sent:** Wednesday, December 21, 2016 6:46 PM  
**To:** Herr, Ellen (OST); Sandra S. Mabry (ssmabry@oge.gov)  
**Cc:** Bridgette Mugge  
**Subject:** RE: Elaine Chao OGE Form 278e

---

Changes made as requested. Have at it! Thanks!

Not that I'm looking for more changes, (b)(3), (5), (6)

(b)(3), (5), (6)

Larry

**Larry J. Steinberg, CPA, CGMA** | Senior Manager

**Blue & Co., LLC** | phone/fax +(b) (6) | mobile +1(b) (6)

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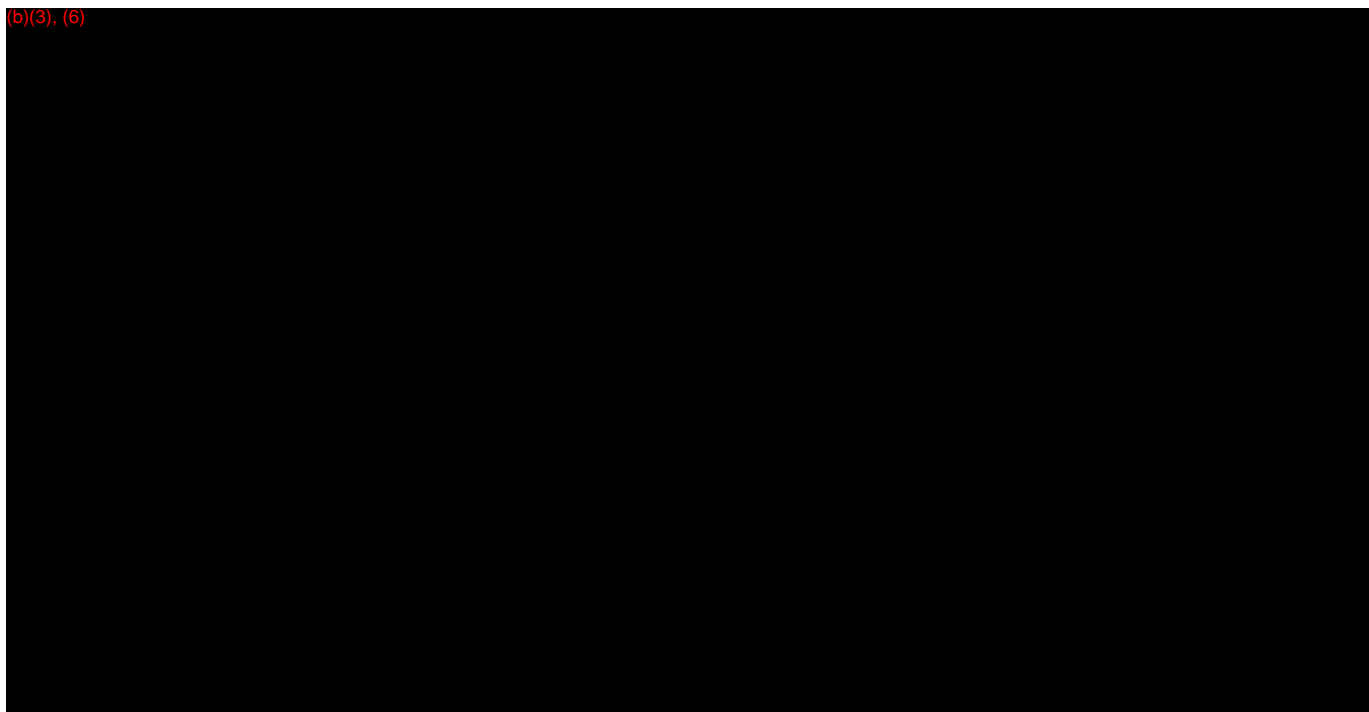
Referral to DOT

**From:** Larry Steinberg [(b) (6)]  
**Sent:** Wednesday, December 21, 2016 9:52 AM  
**To:** Herr, Ellen (OST); Sandra S. Mabry ([ssmabry@oge.gov](mailto:ssmabry@oge.gov))  
**Cc:** Bridgette Mugge  
**Subject:** Elaine Chao OGE Form 278e

Ellen and Sandy,

I printed Elaine's 278e this morning, and am OK with the changes that you made. However, in the copy that I printed this morning, the first change that you noted in Part 6 does not appear to have been made. Since there is (b)(3), (6) perhaps you decided not to make the changes.

Regarding your questions...



Elaine is asking about the process, timing, etc., so any insights that you can share would be good.

Thanks for your help in this process! Happy holidays!

Larry

**Larry J. Steinberg, CPA, CGMA** | Senior Manager

Blue & Co., LLC | phone/fax +(b) (6) mobile (b) (6)

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**From:** Larry Steinberg (b) (6)  
**Sent:** Thursday, December 22, 2016 10:04 AM  
**To:** Herr, Ellen (OST)  
**Subject:** Elaine Chao

Ellen,

I'm not sure I mentioned this in connection (b)(3), (5), (6)

Larry

**Larry J. Steinberg, CPA, CGMA** | Senior Manager

**Blue & Co., LLC** | phone/fax (b) (6) mobile +1 (b) (6)

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**From:** [Sandra S. Mabry](#)  
**To:** ["Larry Steinberg"; "Ellen A. Herr \(b\) \(6\)"](#)  
**Subject:** RE: Form 278e for Secretary Chao  
**Date:** Thursday, December 22, 2016 11:16:57 AM

---

Larry, thank you. I just got out of a meeting, and will print updated report and review it. I, also, hope this will do it, but there are others above me who review the report, and they may spot something or have questions.

We can't do this without you and Ellen, and I thank you both for being available and responsive.

Sandy  
202-482-9258

---

**From:** Larry Steinberg (b) (6) ]  
**Sent:** Thursday, December 22, 2016 10:52 AM  
**To:** Ellen A. Herr (b) (6); Sandra S. Mabry  
**Subject:** Form 278e for Secretary Chao

Ellen and Sandy,

(b)(3), (5), (6)

Thanks for your help. No more changes, please. J

Larry

**Larry J. Steinberg, CPA, CGMA** | Senior Manager  
**Blue & Co., LLC** | phone/fax +1 (b) (6) | mobile (b) (6)  
12800 N. Meridian St., Ste 400 | Carmel, IN 46032



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**From:** LNAPPS1.USOGE@oge.gov  
**To:** [Sandra S. Mabry](#)  
**Subject:** IMPORTANT - ACTION NEEDED - New Nominee Assigned - Begin Review & Send 1st Set of Comments - Elaine L Chao  
**Date:** Friday, December 23, 2016 10:44:55 AM

---

Nominee, Elaine L Chao, has been assigned to you.

**ACTION:** Within 2 days, please begin your review of the report and send the first set of comments/questions to the agency (by email or phone). If you need additional time, please contact Teresa or Deb.

Please log completion of this step into FDTS by entering a date and then clicking the forward routing button to save and mark this step complete.

Remember to add a new Progress Report for this nominee and update the progress at the end of each week until the report and EA have been precleared.

The link below will take you to the FDTS record.

Nonresponsive network info

**From:** [Deborah J. Bortot](#)  
**To:** [Lorna A. Syme](#)  
**Subject:** FW: Elaine Chao EA and 278  
**Date:** Tuesday, December 27, 2016 11:56:43 AM  
**Attachments:** [Changes needed to the form.docx](#)  
[Draft EA for OGE 12-23-16.docx](#)

---

4 page attachment withheld in full  
- (b)(3), (4), (5), (6)

---

**From:** Sandra S. Mabry  
**Sent:** Friday, December 23, 2016 2:23 PM  
**To:** 'Kaleta, Judy (OST)'; Ellen A. Herr (b) (6); Carlson, Terence (OST)  
**Cc:** Keith Labedz; Deborah J. Bortot; Heather A. Jones; 'Larry Steinberg'  
**Subject:** Elaine Chao EA and 278

4 page attachment withheld in full  
- (b)(3), (4), (5), (6)

Judy, Attached are the draft ethics agreement and the remaining items on the 278. The ethics agreement is based on conversations we've had and entries on the report. Please review today and let me know if you have any concerns or suggested changes. If you and the filer are good with the ethics agreement and the changes to the report, I can submit it for preclearance. Thanks, Sandy  
202-482-9258

Referral to DOT

**From:** Lorna A. Syme  
**Sent:** Tuesday, December 27, 2016 6:02 PM  
**To:** Herr, Ellen (OST)  
**Subject:** RE: Nominee

---

Yes I spoke to Judy.

Referral to DOT

**From:** Lorna A. Syme  
**Sent:** Tuesday, December 27, 2016 1:39 PM  
**To:** Kaleta, Judy (OST); Herr, Ellen (OST)  
**Subject:** Nominee

Hello:

Would one of you please give me a call at your earliest convenience. I am backing Sandy Mabry up while she is out.

Thanks!  
Lorna

Lorna Syme



**From:** Larry Steinberg  
**To:** [Lorna A. Syme](#)  
**Cc:** [Kaleta, Judy \(OST\)](#); [Deborah J. Bortot](#); [Sandra S. Mabry](#); [Herr, Ellen \(OST\)](#); [Carlson, Terence \(OST\)](#); [Heather A. Jones](#)  
**Subject:** Re: Elaine Chao EA and 278  
**Date:** Wednesday, December 28, 2016 5:32:38 AM

---

Lorna:

(b)(3), (5), (6)



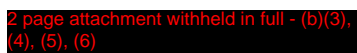
Please let me know if you have additional questions.

Sent from my iPad

On Dec 27, 2016, at 6:25 PM, Lorna A. Syme <[lasyme@oge.gov](mailto:lasyme@oge.gov)> wrote:

Judy:

2 page attachment withheld in full - (b)(3), (4), (5), (6)



As I mentioned, we have a follow-up question on the 278e.

(b)(3), (5), (6)



Per our conversation, I have made the changes to the 278e. Please review the attached document(detailing the changes made to the 278e) and the 278e and confirm everyone is fine with the changes.

Thank you.

Lorna

Referral to DOT



---

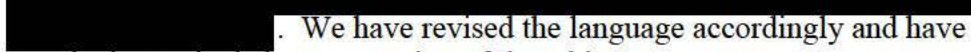

**From:** Deborah J. Bortot <[djbortot@oge.gov](mailto:djbortot@oge.gov)>  
**Sent:** Tuesday, December 27, 2016 1:39:58 PM  
**To:** Kaleta, Judy (OST); 'Larry Steinberg'; Sandra S. Mabry; Herr, Ellen (OST); Carlson, Terence (OST)  
**Cc:** Heather A. Jones; Lorna A. Syme  
**Subject:** RE: Elaine Chao EA and 278

Larry,

4 page attachment withheld in full - (b)(3), (4), (5), (6)



I'm sorry the language is confusing. (b)(3), (5), (6)



. We have revised the language accordingly and have attached a tracked changes version of the ethics agreement.

Please review the attached ethics agreement.

Thanks,

Deb

Deborah J. Bortot

Chief, Presidential Nominations Branch

U.S. Office of Government Ethics

1201 New York Ave., NW, Suite 500

Washington, DC 20005-3917

Telephone: (202) 482-9227

Facsimile: (202) 482-9237

Referral to DOT



Referral to DOT



**From:** Larry Steinberg (b) (6)  
**Sent:** Monday, December 26, 2016 10:22 AM  
**To:** Sandra S. Mabry; Kaleta, Judy (OST); Herr, Ellen (OST); Carlson, Terence (OST)  
**Cc:** Keith Labedz; Deborah J. Bortot; Heather A. Jones  
**Subject:** RE: Elaine Chao EA and 278

Hi all, again!

Hope everyone had a great weekend, with lots of family and friends!

(b)(3), (5), (6)



(b)(3), (5), (6)

I would appreciate your thoughts and reasoning on the current wording for these (b)(3), (6). Bear in mind that I'm an accountant, not an attorney, and am not well-versed in conflicts of interest as defined by the Federal government. (But my profession does have a few conflict rules of its own!)

I am leaving tomorrow (b) (6), returning to the US a week from Wednesday. My e-mail and phone will work (b) (6) at least theoretically), so feel free to contact me by either means while I'm away. Thanks for your help!

Have a happy and safe New Years Eve!

Larry

**Larry J. Steinberg, CPA, CGMA | Senior Manager**  
**Blue & Co., LLC | phone/fax +**(b) (6) **| mobile** (b) (6)

12800 N. Meridian St., Ste 400 | Carmel, IN 46032

<image001.jpg> | [www.blueandco.com](http://www.blueandco.com)

*Currently on Inside Public Accounting Magazine's "Top 100 Firms" list.*

Rest of chain mentioned above

**From:** [Lorna A. Syme](#)  
**To:** [Keith Labedz](#)  
**Subject:** question  
**Date:** Wednesday, December 28, 2016 9:02:46 AM

---

Lorna:

(b)(3), (5), (6)



Please let me know if you have additional questions.

Referral to DOT

**From:** Lorna A. Syme [mailto:lasyme@oge.gov]  
**Sent:** Wednesday, December 28, 2016 12:37 PM  
**To:** Herr, Ellen (OST); Kaleta, Judy (OST)  
**Subject:** [REDACTED] questions

1 page attachment withheld in full - (b)  
(3), (5), (6)

For your review. Please forward to the representative if you are fine with the questions.

Lorna Syme  
Presidential Nominations Branch  
U.S. Office of Government Ethics  
1201 New York Ave., NW, Suite 500  
Washington, DC 20005-3917  
Telephone: (202) 482-9277  
Facsimile: (202) 482-9237

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**From:** [Lorna A. Syme](#)  
**To:** [Deborah J. Bortot](#)  
**Subject:** (b)(3), (6) questions  
**Date:** Wednesday, December 28, 2016 1:58:04 PM  
**Attachments:** (b)(3), (6) questions for (b)(3), (6) [.chao.docx](#)

---

1 page attachment withheld in full -  
(b)(3), (5), (6)

Lorna Syme  
Presidential Nominations Branch  
U.S. Office of Government Ethics  
1201 New York Ave., NW, Suite 500  
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**From:** Larry Steinberg  
**To:** [Herr, Ellen \(OST\)](#)  
**Cc:** [\(b\)\(6\) - Elaine Chao's email address](#); [Lorna A. Syme](#); [Sandra S. Mabry](#); [Kaleta, Judy \(OST\)](#)  
**Subject:** [GRAYMAIL] Re: [\(b\)\(6\)](#) questions for Ethics Agreement  
**Date:** Wednesday, December 28, 2016 2:15:38 PM

---

Thanks! Will let you know when we receive response from [\(b\)\(3\), \(6\)](#).

Sent from my iPhone

Referral to DOT



Referral to DOT



-----Original Message-----

From: Larry Steinberg [(b) (6)]  
Sent: Wednesday, December 28, 2016 7:28 PM  
To: Deborah Bortot; Herr, Ellen (OST); Sandra S. Mabry; Kaleta, Judy (OST); lasyme@oge.gov  
Subject: Elaine Chao Letter

See attached, and let me know your thoughts. Thanks.

2 page attachment withheld in full - (b)  
(3), (4), (5), (6)

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When addressed to our clients, any opinions or advice contained in this e-mail, including any attachments, are subject to the terms and conditions expressed in our client engagement letter.

**From:** Tim Wang  
**To:** [Lorna A. Syme](#)  
**Cc:** (b)(6) - Perkins's email address; [Larry Steinberg](#)  
**Subject:** [GRAYMAIL] FW: Elaine Chao Letter - OGE another question  
**Date:** Thursday, December 29, 2016 3:25:04 PM

---

Lorna: please see response to your follow-up question below.

On Dec 29, 2016, at 12:10 PM, Perkins Jr, Jerry (b) (6) > wrote:

(b)(3), (5), (6)

**Jerry F. Perkins Jr.**  
**General Counsel and Secretary**  
**Vulcan Materials Company**  
**1200 Urban Center Drive**  
**Birmingham, Alabama 35242**  
**Office:** (b) (6)  
**Cell:** (b) (6)



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**From:** "Lorna A. Syme" <[lasyme@oge.gov](mailto:lasyme@oge.gov)>  
**Date:** December 29, 2016 at 10:23:23 AM GMT-5  
**To:** 'Larry Steinberg' (b) (6) >, "Deborah J. Bortot" <[djbortot@oge.gov](mailto:djbortot@oge.gov)>, "Ellen A. Herr" (b) (6) >, "Sandra S. Mabry" <[ssmabry@oge.gov](mailto:ssmabry@oge.gov)>, (b)(6) - Judy Kalela's email address >  
<[REDACTED]>  
**Cc:** "Heather A. Jones" <[hajones@oge.gov](mailto:hajones@oge.gov)>  
**Subject:** RE: Elaine Chao Letter

We have a follow-up question:

(b)(3), (5), (6)

Thanks.  
Lorna

Rest of chain mentioned above

Referral to DOT



---

**From:** Larry Steinberg (b) (6)

**Sent:** Thursday, December 29, 2016 4:02 PM

**To:** Lorna A. Syme; Herr, Ellen (OST); Sandra S. Mabry; Deborah Bortot; hajones@oge.gov; Kaleta, Judy (OST)

**Subject:** Fwd: Elaine Chao Letter

See below...

Rest of chain mentioned above



**From:** [Lorna A. Syme](#)  
**To:** [Deborah J. Bortot](#)  
**Subject:** FW: Elaine Chao EA & 278  
**Date:** Thursday, December 29, 2016 5:20:52 PM

---

---

**From:** Deborah J. Bortot  
**Sent:** Wednesday, December 28, 2016 12:54 PM  
**To:** Lorna A. Syme  
**Subject:** Fw: Elaine Chao EA & 278

Sent from my BlackBerry 10 smartphone on the Verizon Wireless 4G LTE network.

---

**From:** Tim Wang (b) (6)  
**Sent:** Wednesday, December 28, 2016 9:28 AM  
**To:** Deborah J. Bortot  
**Cc:** Larry Steinberg  
**Subject:** Elaine Chao EA & 278

Mr. Larry Steinberg just told us of your email last night.

(b)(3), (5), (6)

Mr. Steinberg will be landing soon and I'd imagine talk to you. Do you have a telephone or a cell phone for reference?

Many thanks.

---

Tim Wang  
O: (b) (6)  
M: (b) (6)

**From:** [Lorna A. Syme](#)  
**To:** ["Larry Steinberg"](#); [Ellen A. Herr](#); [Sandra S. Mabry](#); [Deborah J. Bortot](#); [Heather A. Jones](#); (b)(6) - Judy Kaeola's email address  
**Subject:** RE: Elaine Chao Letter  
**Date:** Thursday, December 29, 2016 5:57:05 PM  
**Attachments:** [Draft EA for OGE 12-29-16.docx](#) 3 page attachment withheld in full - (b)(3), (4), (5), (6)

---

Attached please find a revised ethics agreement.

We have also revised the 278e by adding the following endnote to Part 2, line 13.2 and Part 3, line 7: (b)(3), (4), (5)

Please have the filer review the 278e and the ethics agreement and confirm that she is fine with everything.

Thank you.

Lorna



Referral to DOT



**From:** [Lorna A. Syme](#)  
**To:** ["Herr, Ellen \(OST\)"](#)  
**Subject:** RE: Elaine Chao EA & OGE 278 - edit endnote to Part 2, Line 13.2 & Part 3 line 7  
**Date:** Friday, December 30, 2016 10:08:10 AM

---

Ellen:

I received your message. Please call me when you get out of your meeting.

Lorna

Referral to DOT



---

**From:** Larry Steinberg [(b) (6)]  
**Sent:** Thursday, December 29, 2016 9:14 PM  
**To:** Herr, Ellen (OST)  
**Cc:** Sandra S. Mabry; Kaleta, Judy (OST); Lorna A. Syme

6 page attachment withheld in full - (b)(3), (4),  
(5), (6)

**Subject:** Fwd: Elaine Chao EA & OGE 278 - edit endnote to Part 2, Line 13.2 & Part 3 line 7

Ellen:

See requested change from Elaine. Hopefully you are OK with this, and can make the change. Per your letter, please send instructions on completing this letter to Secretary Chao, Tim Wang, and me.

Thanks!

Larry

Sent from my iPad

Begin forwarded message:

**From:** Elaine Chao (b) (6)  
**Date:** December 29, 2016 at 8:27:01 PM GMT-5  
**To:** Larry Steinberg (b) (6)  
**Cc:** Wang Tim (b) (6)  
**Subject:** Elaine Chao EA & OGE 278 - edit endnote to Part 2, Line 13.2 & Part 3 line 7

(b)(3), (4), (5), (6)

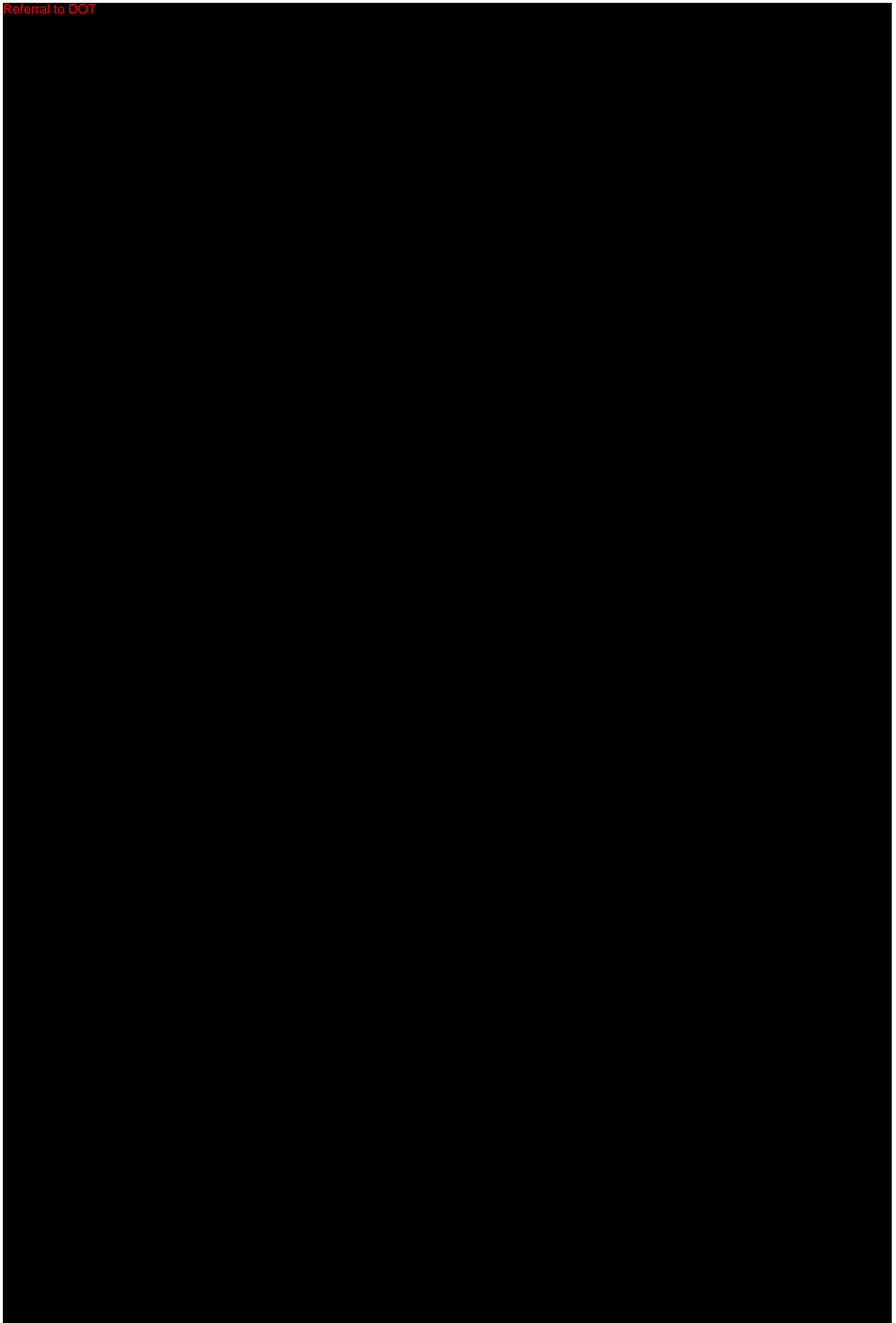


Larry: please confirm revision ok. Thank you.

Referral to DOT




Referral to DOT



Referral to DOT



**From:** Lorna A. Syme [mailto:lasyme@oge.gov]  
**Sent:** Friday, December 30, 2016 11:16 AM  
**To:** Herr, Ellen (OST)  
**Subject:** (b)(3), (5)



(b)(3), (5), (6)



Lorna Syme  
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**From:** [Emory A. Rounds III](#)  
**To:** [James Carroll](#)  
**Subject:** Re: Elaine Chao EA & OGE 278  
**Date:** Friday, December 30, 2016 2:28:58 PM

---

Fairly routine traffic to my eye. The intent piece is Annie's and timing is an unknown.

Sent from my BlackBerry 10 smartphone on the Verizon Wireless 4G LTE network.

---

**From:** James Carroll  
**Sent:** Friday, December 30, 2016 2:16 PM  
**To:** Emory A. Rounds III  
**Subject:** Fwd: Elaine Chao EA & OGE 278

---

I'm in personal meeting. What does this mean?

----- Forwarded message -----

**From:** Geoffrey Burr (b) (6)  
**Date:** Fri, Dec 30, 2016 at 2:09 PM  
**Subject:** Fwd: Elaine Chao EA & OGE 278  
**To:** James Carroll (b) (6)

Jim:

Please see the email from the DOT lawyer below regarding the intent to nominate paperwork. How does that process work, how long does it generally take and what do we need to do on our end. Thanks very much.

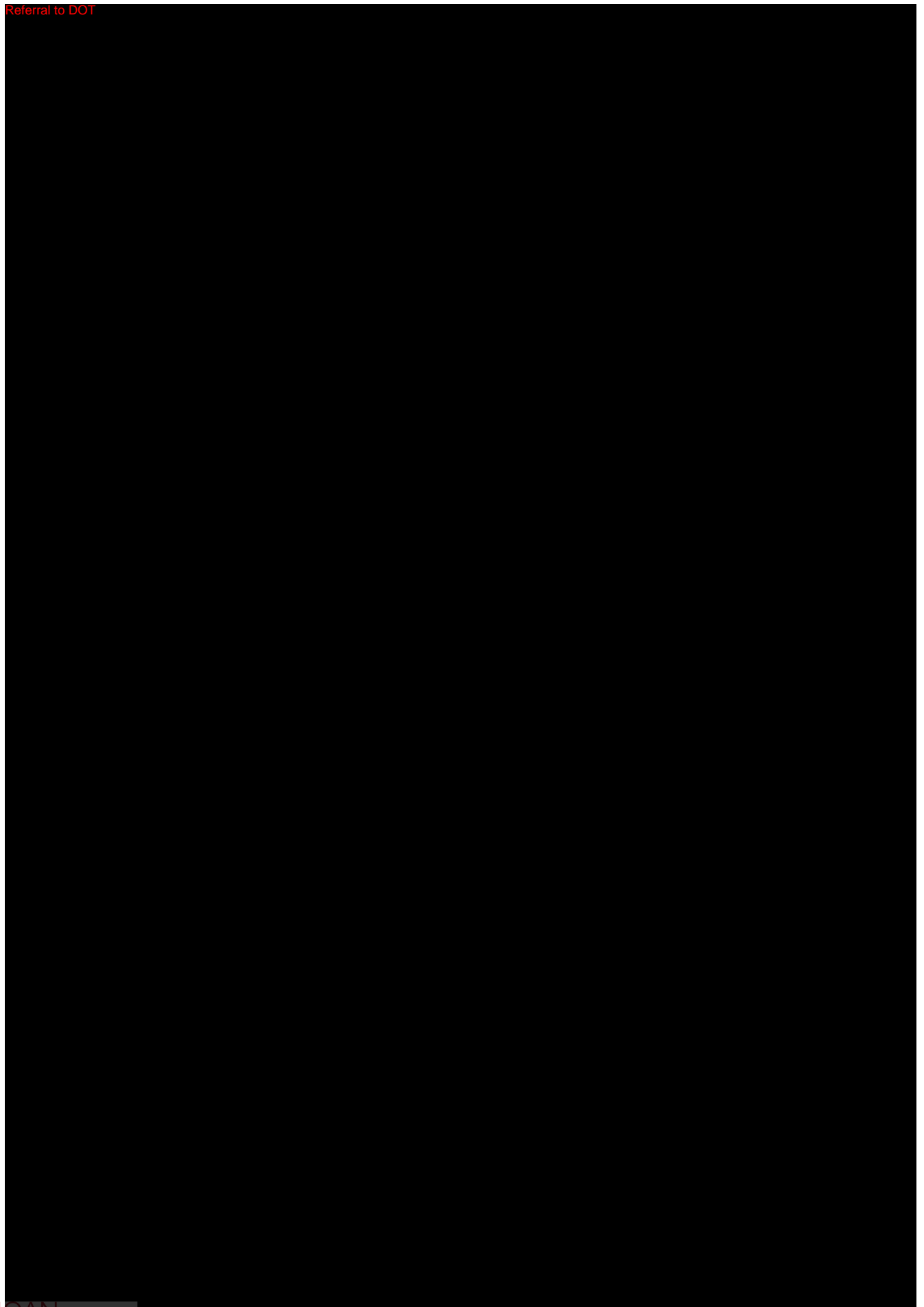
Geoff

---

Referral to DOT



Referral to DOT



Referral to DOT





Referral to DOT

**From:** Tim Wang (b) (6)

**Sent:** Friday, December 30, 2016 11:53 AM

**To:** Herr, Ellen (OST)

**Cc:** Larry Steinberg

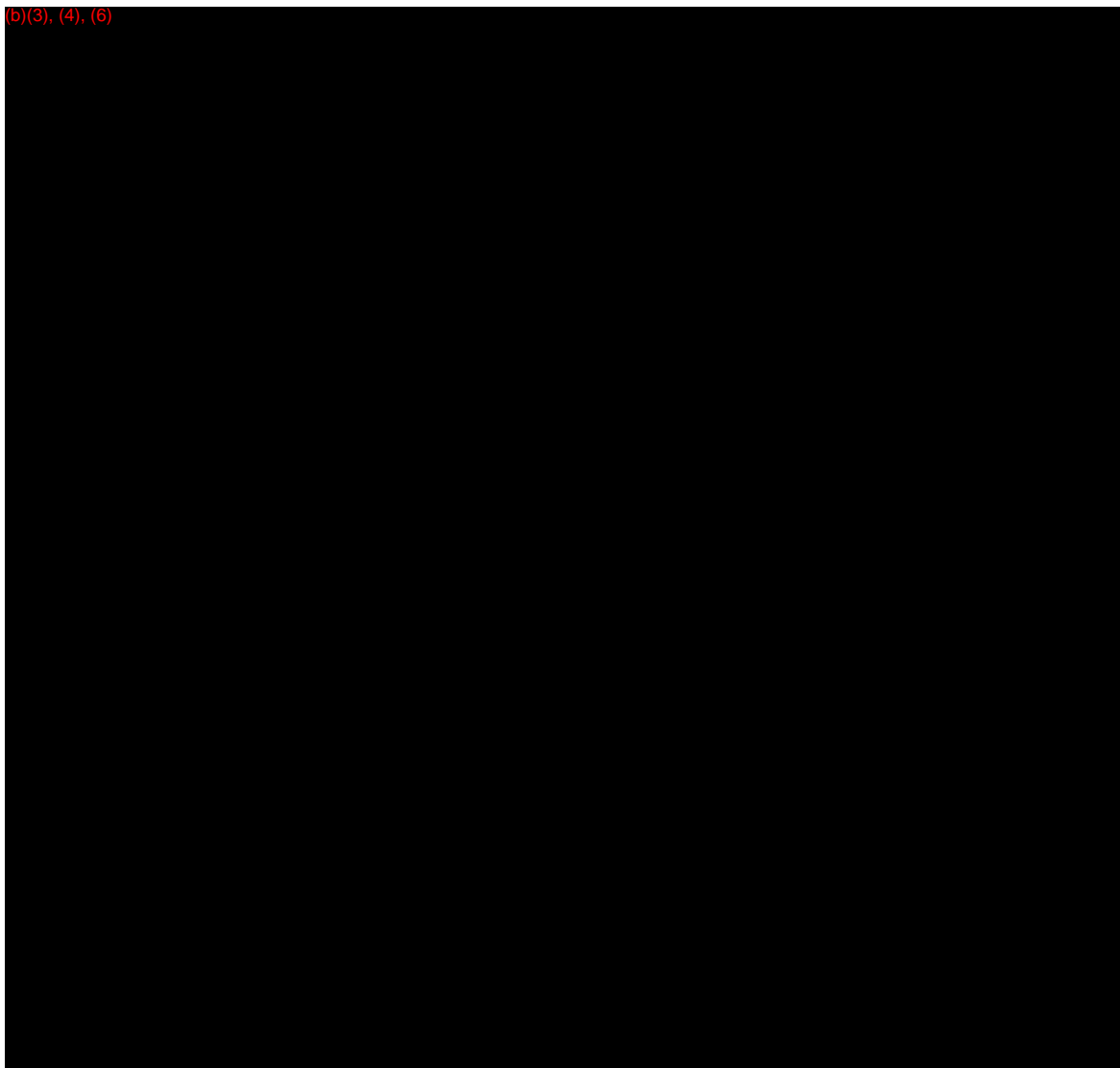
**Subject:** RE: Elaine Chao EA & OGE 278 - edit endnote to Part 2, Line 13.2 & Part 3 line 7

Hi, Ellen: Thank you very much for your help and for working through this holiday season. Understand you and Larry have communicated:

A. We are awaiting your instructions and final document for Sec Chao to sign.

(b)(3), (4), (6)

(b)(3), (4), (6)



Thank you again.

**From:** [Lorna A. Syme](#)  
**To:** [Deborah J. Bortot](#)  
**Subject:** FW: Elaine Chao EA & OGE 278 - edit endnote to Part 2, Line 13.2 & Part 3 line 7  
**Date:** Friday, December 30, 2016 4:42:03 PM  
**Attachments:** [Draft EA for OGE 12-29-16 \(redline version\).docx](#)  
[ATT00001.htm](#)  
[Draft EA for OGE 12-29-16 \(Clean copy\).docx](#)  
[ATT00002.htm](#)

---

6 page attachment withheld in full - (b)(3), (4), (5), (6)

Rest of chain mentioned above

**From:** [Lorna A. Syme](#)  
**To:** ["Herr, Ellen \(OST\)"](#)  
**Subject:** voicemail  
**Date:** Friday, December 30, 2016 6:56:07 PM

---

I'm off for the night but I will be checking my email over the weekend. Let me know if you have any questions on the voicemail I left you.

Happy New Year!  
Lorna

Lorna Syme  
Presidential Nominations Branch  
U.S. Office of Government Ethics  
1201 New York Ave., NW, Suite 500  
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Telephone: (202) 482-9277  
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Referral to DOT

**From:** Sandra S. Mabry [mailto:ssmabry@oge.gov]

**Sent:** Tuesday, January 03, 2017 1:18 PM

**To:** Herr, Ellen (OST)

**Subject:** RE: Elaine Chao EA & OGE 278 - edit endnote to Part 2, Line 13.2 & Part 3 line 7

(b)(3), (5), (6)

Sandy 202-482-9258

As you probably know, we're trying to finish this one today☺

Referral to DOT

**From:** Sandra S. Mabry [mailto:ssmabry@oge.gov]

**Sent:** Tuesday, January 03, 2017 12:45 PM

**To:** Herr, Ellen (OST)

**Subject:** FW: Elaine Chao EA & OGE 278 - edit endnote to Part 2, Line 13.2 & Part 3 line 7

(b)(3), (5), (6)

**From:** Larry Steinberg (b) (6)

**Sent:** Tuesday, January 03, 2017 12:28 PM

**To:** Herr, Ellen (OST)

**Cc:** Tim Wang; (b)(6) - Elaine Chao's email address Sandra S. Mabry; Lorna A. Syme; Kaleta, Judy (OST)

**Subject:** [GRAYMAIL] Re: Elaine Chao EA & OGE 278 - edit endnote to Part 2, Line 13.2 & Part 3 line 7

Hi all!

Secretary Chao is OK with not making her change. Thanks!

Larry

Sent from my iPhone

Referral to DOT



Rest of chain mentioned above

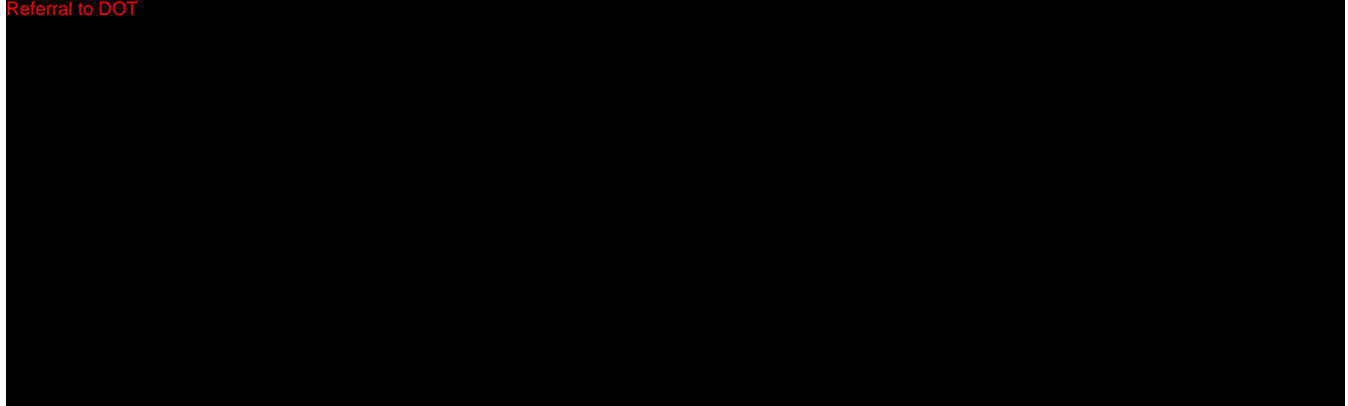


**From:** [Sandra S. Mabry](#)  
**To:** ["Herr, Ellen \(OST\)"](#)  
**Subject:** RE: Elaine Chao EA & OGE 278 - edit endnote to Part 2, Line 13.2 & Part 3 line 7  
**Date:** Tuesday, January 03, 2017 3:33:01 PM

---

Get the info for Part 1 and either you or I can enter it in Integrity. Please confirm no fees/compensation from any of the positions. Thanks, Sandy

Referral to DOT




**From:** Sandra S. Mabry [<mailto:ssmabry@oge.gov>]  
**Sent:** Tuesday, January 03, 2017 2:42 PM  
**To:** Herr, Ellen (OST)  
**Subject:** RE: Elaine Chao EA & OGE 278 - edit endnote to Part 2, Line 13.2 & Part 3 line 7  
Thanks, Ellen

Referral to DOT





Referral to DOT



**From:** Tim Wang [(b) (6)]  
**Sent:** Tuesday, January 03, 2017 1:35 PM  
**To:** Herr, Ellen (OST); 'Larry Steinberg'  
**Cc:** [(b)(6) - Elaine Chao's email address]; Lorna A. Syme; Kaleta, Judy (OST); Sandra S. Mabry  
**Subject:** RE: Elaine Chao EA & OGE 278 - edit endnote to Part 2, Line 13.2 & Part 3 line 7  
[(b)(3), (6)]

Referral to DOT



**From:** Sandra S. Mabry [<mailto:ssmabry@oge.gov>]  
**Sent:** Tuesday, January 03, 2017 12:32 PM  
**To:** 'Larry Steinberg'; Herr, Ellen (OST)  
**Cc:** Tim Wang; [(b)(6) - Elaine Chao's email address]; Lorna A. Syme; Kaleta, Judy (OST)  
**Subject:** RE: Elaine Chao EA & OGE 278 - edit endnote to Part 2, Line 13.2 & Part 3 line 7  
Thanks, Larry

Rest of chain mentioned above



**From:** Van Beek, Jason (Commerce)  
**To:** [Sandra S. Mabry](#)  
**Subject:** RE: Chao and Ross OGE packages  
**Date:** Tuesday, January 03, 2017 5:16:24 PM

---

Hi Sandy, when you get a chance tomorrow, could you give me a call at (b) (6) ?

Best,  
Jason

---

**From:** Sandra S. Mabry [mailto:ssmabry@oge.gov]  
**Sent:** Tuesday, December 20, 2016 6:53 PM  
**To:** Van Beek, Jason (Commerce) (b) (6) >  
**Subject:** RE: Chao and Ross OGE packages

Jason, just got back to my computer and saw your email. I'll call you tomorrow to discuss. Sandy

---

**From:** Van Beek, Jason (Commerce) (b) (6)  
**Sent:** Tuesday, December 20, 2016 4:41 PM  
**To:** Sandra S. Mabry; Rossi, Nick (Commerce); Arnakis, Adrian (Commerce)  
**Subject:** Chao and Ross OGE packages

Hi Sandra, hope you're doing well. Thx again for the quick turnaround of the STB nom a few weeks ago, it was greatly appreciated! I'm just curious about when we can expect the OGE packages for Ms. Chao and Wilbur Ross. - Jason

Sent from my Verizon, Samsung Galaxy smartphone

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**From:** [Sandra S. Mabry](#)  
**To:** ["Kaleta, Judy \(OST\)"; "Herr, Ellen \(OST\)"](#)  
**Subject:** FW: PRECLEARED: Elaine Chao  
**Date:** Tuesday, January 03, 2017 7:17:01 PM

---

Judy and Ellen, do not have the filer sign the report or the ethics agreement until I give you the word. Ellen, I'll call you in the morning. Thanks, Sandy

---

**From:** Deborah J. Bortot  
**Sent:** Tuesday, January 03, 2017 7:08 PM  
**To:** 'Ann M Donaldson'  
**Cc:** Sandra S. Mabry; David J. Apol; Heather A. Jones; Teresa L. Williamson; Rodrick T. Johnson; Emory A. Rounds III; Herr, Ellen (OST); Keith Labedz; 'Kaleta, Judy (OST)'  
**Subject:** PRECLEARED: Elaine Chao

Annie, Elaine Chao is precleared. Sandy, please forward the ethics agreement to Annie.

Thanks!  
Deb

Deborah J. Bortot  
Chief, Presidential Nominations Branch  
U.S. Office of Government Ethics  
1201 New York Ave., NW, Suite 500  
Washington, DC 20005-3917  
Telephone: (202) 482-9227  
Facsimile: (202) 482-9237

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**From:** [Deborah J. Bortot](#)  
**To:** ["Ann M. Donaldson"](#)  
**Cc:** [Emory A. Rounds III](#); [Sandra S. Mabry](#); [Teresa L. Williamson](#)  
**Subject:** Elaine Chao  
**Date:** Thursday, January 05, 2017 8:51:07 AM

---

Annie,

Just making sure you are aware that we have not received the authorization from you to send Elaine Chao's paperwork to the Senate.

We precleared her 1/3/2017.

Thanks,  
Deb

---

**From:** Deborah J. Bortot  
**Sent:** Tuesday, January 03, 2017 7:08 PM  
**To:** 'Ann M Donaldson'  
**Cc:** Sandra S. Mabry; David J. Apol; Heather A. Jones; Teresa L. Williamson; Rodrick T. Johnson; Emory A. Rounds III; Herr, Ellen (OST); Keith Labedz; 'Kaleta, Judy (OST)'  
**Subject:** PRECLEASED: Elaine Chao

Annie, Elaine Chao is precleared. Sandy, please forward the ethics agreement to Annie.

Thanks!  
Deb

Deborah J. Bortot  
Chief, Presidential Nominations Branch  
U.S. Office of Government Ethics  
1201 New York Ave., NW, Suite 500  
Washington, DC 20005-3917  
Telephone: (202) 482-9227  
Facsimile: (202) 482-9237

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---

**From:** Sandra S. Mabry [mailto:ssmabry@oge.gov]  
**Sent:** Thursday, January 05, 2017 10:52 AM  
**To:** Herr, Ellen (OST)  
**Subject:** re your phone message RE: PRECLEARED: Elaine Chao

No word yet. Will let you know as soon as I hear

Referral to DOT



---

**From:** Sandra S. Mabry [mailto:ssmabry@oge.gov]  
**Sent:** Tuesday, January 03, 2017 7:26 PM  
**To:** 'Ann M Donaldson'  
**Cc:** Emory A. Rounds III; Kaleta, Judy (OST); Herr, Ellen (OST)  
**Subject:** RE: PRECLEARED: Elaine Chao

No attachment found in search



Annie, the precleared ethics agreement is attached.

Sandy (202-482-9248)

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**From:** [Deborah J. Bortot](#)  
**To:** [Sandra S. Mabry](#)  
**Subject:** RE: Secretary Elaine Chao  
**Date:** Thursday, January 05, 2017 3:17:42 PM

---

Have Teresa enter today as nomination date. This will have to be done before filer can sign.

---

**From:** Sandra S. Mabry  
**Sent:** Thursday, January 05, 2017 3:16 PM  
**To:** Deborah J. Bortot  
**Subject:** RE: Secretary Elaine Chao

Thanks, Deb. Will call agency

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**From:** Deborah J. Bortot  
**Sent:** Thursday, January 05, 2017 3:15 PM  
**To:** Sandra S. Mabry  
**Subject:** FW: Secretary Elaine Chao

**From:** Ann M Donaldson [(b) (6)]  
**Sent:** Thursday, January 05, 2017 1:38 PM  
**To:** Deborah J. Bortot; Heather A. Jones  
**Subject:** Secretary Elaine Chao

On behalf of the President-Elect, this email serves as confirmation that the President-Elect intends to nominate Secretary Elaine Chao to be Secretary of Transportation. Please transmit her pre-cleared 278 report to the appropriate Senate committee.

Thank you,  
Annie

Ann M. Donaldson  
Associate  
[JONES DAY® - One Firm Worldwide<sup>SM</sup>](#)  
51 Louisiana Avenue, NW  
Washington, DC 20001  
Office +1[(b) (6)]

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This e-mail (including any attachments) may contain information that is private, confidential, or protected by attorney-client or other privilege. If you received this e-mail in error, please delete it from your system without copying it and notify sender by reply e-mail, so that our records can be corrected.

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Referral to DOT

**From:** Tim Wang (b) (6) Attachment released below  
**Sent:** Thursday, January 05, 2017 5:27 PM  
**To:** Herr, Ellen (OST)  
**Cc:** Kaleta, Judy (OST); Sandra S. Mabry; (b) (6) - Elaine Chao's email address; 'Larry Steinberg'; Geoff Burr  
**Subject:** Signed Ethics Agreement for Transportation Secretary-Designate

Please see attached signed Ethics Agreement for Transportation Secretary-Designate Elaine L. Chao.

Please confirm receipt. Thank you.

---

Tim Wang  
Program Manager  
Hudson Institute  
O: (b) (6)  
M: (b) (6)

**From:** Torppey, Brad (Commerce)  
**To:** [Sandra S. Mabry](#)  
**Subject:** Sec. Chao  
**Date:** Thursday, January 05, 2017 6:13:15 PM

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Hi Sandy,

Can you please call me at (b) (6) when you have a minute to answer a couple quick questions about the process for OGE certification. My boss has been asking questions in anticipation of next week's confirmation hearing. Thank you.

Brad

Bradley Torppey  
Deputy General Counsel  
Ranking Member Bill Nelson  
U.S. Senate Committee on Commerce, Science, and Transportation  
(b) (6)

Referral to DOT



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**From:** Torppey, Brad (Commerce) (b) (6)  
**Sent:** Thursday, January 05, 2017 6:19 PM  
**To:** Herr, Ellen (OST)  
**Subject:** Sec. Chao nomination

Hi Sandy,

Can you please call me at (b) (6) when you have a minute to answer a couple quick questions. My boss has been asking questions in anticipation of next week's confirmation hearing, and I'm hoping to learn a bit more about the process/status. Thank you!

Brad

Bradley Torppey  
Deputy General Counsel  
Ranking Member Bill Nelson  
U.S. Senate Committee on Commerce, Science, and Transportation  
(b) (6)

**From:** Integrity.gov  
**To:** [Sandra S. Mabry](#)  
**Subject:** Integrity.gov: Report Pending Action  
**Date:** Friday, January 06, 2017 1:18:33 PM

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A 2017 Nominee report for Chao, Elaine L is pending your action as OGE Nominee Reviewer. You may access the report by logging into integrity at <https://integrity.gov>.

Referral to DOT



**From:** Sandra S. Mabry [mailto:ssmabry@oge.gov]

**Sent:** Friday, January 06, 2017 3:08 PM

**To:** Herr, Ellen (OST)

**Subject:** FW: Ethics Agreement for Elaine L. Chao - Nominee for Secretary of Transportation

Ellen, please resend the signed EA. The one attached is missing page 2.

Referral to DOT



**From:** [Teresa L. Williamson](#)  
**To:** ["Van Beek, Jason \(Commerce\)"](#)  
**Cc:** [Sandra S. Mabry](#)  
**Subject:** RE: Public Financial Disclosure Report of Elaine L. Chao  
**Date:** Friday, January 06, 2017 4:25:30 PM

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Jason, Once the documents are uploaded to our website they will be available at:

Nonresponsive network info

Thanks! Have a great weekend! Teresa

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**From:** Van Beek, Jason (Commerce) (b) (6) ]  
**Sent:** Friday, January 06, 2017 4:24 PM  
**To:** Teresa L. Williamson  
**Cc:** Deborah J. Bortot; Sandra S. Mabry; Rodrick T. Johnson; Heather A. Jones; (b)(6) - Ann Donaldson's email address  
**Subject:** RE: Public Financial Disclosure Report of Elaine L. Chao

Teresa and Sandy, is there by chance a link on OGE's website to these documents? - Jason

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**From:** Teresa L. Williamson [<mailto:tlwillia@oge.gov>]  
**Sent:** Friday, January 6, 2017 4:12 PM  
**To:** Van Beek, Jason (Commerce) <(b) (6)>  
**Cc:** Deborah J. Bortot <[djbortot@oge.gov](mailto:djbortot@oge.gov)>; Sandra S. Mabry <[ssmabry@oge.gov](mailto:ssmabry@oge.gov)>; Rodrick T. Johnson <[rjohnson@oge.gov](mailto:rjohnson@oge.gov)>; Heather A. Jones <[hajones@oge.gov](mailto:hajones@oge.gov)>; (b)(6) - Ann Donaldson's email address  
**Subject:** Public Financial Disclosure Report of Elaine L. Chao

Good Afternoon,

Final EA and final senate letter released below. 278 financial disclosure report withheld in full - (b)(3) - Available at <https://extapps2.oge.gov/201/Presiden.nsf/PAS%20Index?OpenView>

I've attached the financial disclosure package for Elaine L. Chao. President-Elect Trump has announced his intention to nominate Ms. Chao for the position of Secretary, Department of Transportation.

The hard copy of the attached documents will be placed at OGE reception for pick up by a Senate rider page per our agreement. If you have any questions, please contact Teresa Williamson @ 202-482-9283.

**Please respond to this message to confirm receipt of the attached package, and please let me know in your response whether you will send a Senate rider page.**

Thanks!

Teresa Williamson  
Presidential Nominations Branch  
U.S. Office of Government Ethics  
1201 New York Avenue, NW - Suite 500  
Washington, DC 20005

202-482-9283

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**From:** Torppey, Brad (Commerce)  
**To:** [Sandra S. Mabry](#)  
**Subject:** Sec. Chao review  
**Date:** Saturday, January 07, 2017 3:13:39 PM

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Hi Sandy,

Thanks again for talking on Thurs. evening. I learned a lot and greatly appreciate the time in the midst of what I know must be an incredibly busy period.

There was some discussion today in a New York Times [article](#) of pressure from the transition on OGE to complete ethics reviews. Can you address whether this was experienced in your review of Secretary Chao? We obviously want to ensure OGE is being given the necessary time and space it needs to complete its critical work.

Thanks and I hope you're able to enjoy some of your weekend!

Brad

(b) (6) (cell)



UNITED STATES OFFICE OF  
GOVERNMENT ETHICS



JAN - 6 2017

The Honorable John Thune  
Chairman  
Committee on Commerce, Science,  
and Transportation  
United States Senate  
Washington, DC 20510

Dear Mr. Chairman:

In accordance with the Ethics in Government Act of 1978, I enclose a copy of the financial disclosure report filed by Elaine L. Chao. President-Elect Trump has announced his intention to nominate Ms. Chao for the position of Secretary, Department of Transportation.

We have reviewed the report and have obtained advice from the agency concerning any possible conflict in light of its functions and the nominee's proposed duties. Also enclosed is an ethics agreement outlining the actions that the nominee will undertake to avoid conflicts of interest. Unless a date for compliance is indicated in the ethics agreement, the nominee must fully comply within three months of confirmation with any action specified in the ethics agreement.

Based thereon, we believe that this nominee is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

Walter M. Shaub, Jr.  
Director

Enclosures

January 5, 2017

Judith S. Kaleta  
Designated Agency Ethics Official  
U.S. Department of Transportation  
1200 New Jersey Ave. SE  
Washington, DC 20590

Dear Ms. Kaleta:

I am committed to the highest standards of ethical conduct for government officials. The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Secretary of the U.S. Department of Transportation.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

I am the sole proprietor of Firebird International, LLC, a pass-through entity established to receive my fees from speaking engagements and compensation from directorships. During my appointment to the position of Secretary, this entity will remain dormant and will not advertise. I will not perform any services for this entity, except that I will comply with any requirements involving legal filings, taxes and fees that are necessary to maintain the entity while it is in an inactive status. As Secretary, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of Firebird International, LLC.

Upon confirmation, I will resign from my position with the Hudson Institute. For a period of one year after my resignation from this entity, I will not participate personally and substantially in any particular matter involving specific parties in which I know this entity is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

Upon confirmation, I will resign from my position with Ford's Theatre. For a period of one year after my resignation from this entity, I will not participate personally and substantially in any particular matter involving specific parties in which I know this entity is a party or

represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

I resigned from my position with The Heritage Foundation on June 13, 2016. For a period of one year after my resignation from this entity, I will also not participate personally and substantially in any particular matter involving specific parties in which I know this entity is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

Upon confirmation, I will resign from my position with News Corporation. I hold unvested deferred stock units with News Corporation. I do not hold any vested deferred stock units, stock options, restricted stock or common stock. Pursuant to the terms of the company's Directors' Deferred Stock Unit Plan, my unvested deferred stock units will vest upon separation from service on the Board, and I will receive a cash payout based on the closing price of the company's Class A common stock on the date of termination. For a period of one year after my resignation, I will not participate personally and substantially in any particular matter involving specific parties in which I know News Corporation is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

Upon confirmation, I will resign from my position with Ingersoll Rand. I hold vested and unvested retainer stock units with Ingersoll Rand. I do not hold any stock options, restricted stock or common stock. Pursuant to the terms of the company's Directors' Retainer Stock Unit Plan, my unvested retainer stock units will vest upon separation from service on the Board, and I will receive a cash payout for all of my retainer stock units based on the closing price of the company's common stock on the date of my separation. For a period of one year after my resignation from this entity, I will not participate personally and substantially in any particular matter involving specific parties in which I know this entity is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

Upon confirmation, I will resign from my position with Vulcan Materials. I hold vested deferred stock units with Vulcan Materials. I do not hold any unvested deferred stock units, stock options, restricted stock or common stock. Pursuant to the terms of the company's Directors' Deferred Stock Unit Plan, I will receive a cash payout for all of my vested deferred stock units in April of the year following the year of my separation from service. The cash payout will be determined based on the closing price of the company's common stock at the time payment is made that April. Until the deferred stock units are redeemed, I will continue to receive deferred stock unit equivalents, which track dividends on the company's common stock. Until I receive the cash payment of my vested deferred stock units, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of Vulcan Materials, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1).

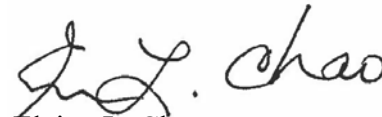
Upon confirmation, I will resign from my position with Wells Fargo & Company. I hold common stock and vested deferred stock compensation with Wells Fargo. I do not hold any stock options or restricted stock. Pursuant to the terms of the company's Directors Stock Compensation and Deferral Plan – Stock Award Deferrals, I will receive a cash payout for my deferred stock compensation (all of which is fully vested at the time of grant) based on various

elections I have made each year that I have served on the Board. The cash payout will be determined based on the closing price of the company's common stock at the time payment is made, and I will continue to receive deferred stock compensation equivalents, which track dividends on the company's common stock until I receive the cash payout. If I resign my position on the board after December 31, 2016, the approximate portion of my deferred stock compensation to be paid out is as follows: July 2017 – 48%; March 2018 – 29%; March 2019 – 15%; March 2020 – 4%; and March 2021 – 4%. Until I receive the final payment, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of Wells Fargo, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). For a period of one year after my resignation, I will not participate personally and substantially in any particular matter involving specific parties in which I know Wells Fargo is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

As a former director of Northwest Airlines, which merged with Delta Airlines in 2009, I receive discounted travel on Delta Airlines. I have never been a director of Delta Airlines, and this benefit is taxable on such discounted airfare at rates established by the Internal Revenue Service. I will forgo this discounted airfare for the duration of my appointment as Secretary. I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the ability or willingness of Delta Airlines to provide this benefit, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1).

I have been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

Sincerely,



Elaine L. Chao